

(19) World Intellectual Property
Organization
International Bureau



10/539082



(43) International Publication Date
22 July 2004 (22.07.2004)

PCT

(10) International Publication Number
WO 2004/060905 A1

- (51) International Patent Classification⁷: C07H 21/04, C12Q 1/68
- (21) International Application Number: PCT/US2003/041409
- (22) International Filing Date: 29 December 2003 (29.12.2003)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data: 60/436,903 26 December 2002 (26.12.2002) US
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- (81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, OM, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.
- (84) Designated States (*regional*): ARIPO patent (BW, GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).
- Published:
- with international search report
 - before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments
- For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: REAGENTS AND METHODS FOR DIAGNOSIS OF ATTENTION DEFICIT HYPERACTIVITY DISORDER

(57) Abstract: The subject invention provides reagents and methods for diagnosing Attention Deficit Hyperactivity Disorder (ADHD) in an individual based on the presence of specific alleles of the DRD4 gene or other markers found within a region of strong linkage disequilibrium to the DRD4 7R allele in the DNA of the individual.

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REAGENTS AND METHODS FOR DIAGNOSIS OF ATTENTION DEFICIT HYPERACTIVITY DISORDER

INTRODUCTION

Attention Deficit Hyperactivity Disorder (ADHD) is a neurobehavioral disorder defined by symptoms of developmentally inappropriate inattention, impulsivity, and hyperactivity with early onset (American Psychiatric Association DSM-IV: Diagnostic and Statistical Manual of Mental Disorders (Am. Psychiatr. Assoc. Washington, DC) 4th Ed. 1994.) Current estimates indicate that 3-6% of school age children are diagnosed with ADHD, making it the most prevalent disorder of childhood (Swanson, JM, Flodman, P, Kennedy, J, Spence, MA, Moyzis, R, Schuck, S, et al., Dopamine genes and ADHD. Neuroscience and Behavioral Reviews 2000; 24, 21-25.) While the broad DSM-IV phenotype of ADHD almost certainly has multiple biological etiologies (Swanson, J, Deutsch, C, Cantwell, D, Posner, M, Kennedy, JL, Barr, CL, et al. Genes and Attention-Deficit Hyperactivity Disorder. Clinical Neuroscience Research 2001; 1, 207-216), numerous family, twin and adoption studies have documented a strong genetic basis (Faraone, SV, Biederman, J. Genetics of attention-deficit hyperactivity disorder. Child Adolesc Clin North Am 1994; 3, 285-291; Faraone, SV, Doyle, AE, Mick, E, and Biederman, J. Meta-analysis of the association between the 7-repeat allele of the dopamine D4 receptor gene and attention deficit hyperactivity disorder. Am J Psychiatry 2001; 158, 1052-1057).

Despite the high heritability of ADHD, initial genome scan studies have failed to identify genes of major effect (Fisher, SE, Franks, C, McCracken, JT, McGough, JJ, Marlov, AJ, MacPhie, IL, et al. A genomewide scan for loci involved in Attention-Deficit/Hyperactivity Disorder. Am J Hum Genet 2002; 70, 1183-1196), although a region on chromosome 16p13 has been implicated in subsequent studies by the same group (Smalley, SL, Kustanovich, V, Minassian, SL, Stone, JL, Ogdie, MN, McGough, JJ, et al. Genetic linkage of attention-deficit/hyperactivity disorder on chromosome 16p13, in a region implicated in autism. Am J Hum Genet 2002; 71, 959-963.) Such negative results are not unexpected for a complex genetic disorder like ADHD, where phenotypic heterogeneity is likely, and the practical but (to date) restricted sample sizes limit statistical power (Risch, N and Merikangas, K. The future of genetic studies of complex human diseases. Science 1996; 273, 1516-1517; Terwilliger, JD and Weiss, KM. Linkage disequilibrium mapping of complex disease: fantasy or reality? Current Opin Biotechnology 1998; 9, 578-594; Weiss, KM and Terwilliger, JD. How many diseases does it take to map a gene with SNPs? Nature

1 Genetics 2000; 26, 151-157; Zwick, ME, Cutler, DJ, and Chakravarti, A. Patterns of genetic
variation in mendelian and complex traits. Ann Rev Genomics Hum Genet 2000; 1, 387-407;
Sklar, P. Linkage analysis in psychiatric disorders: the emerging picture. Ann Rev Genomics
Hum Genet 2002; 3, 371-413.) Candidate gene studies, on the other hand, require much
5 smaller sample sizes to achieve the same statistical power. The efficacy of a dopamine
agonist drug, methylphenidate, in the treatment of ADHD has suggested that genes in the
dopamine pathway may be involved in the disorder's etiology (Volkow, ND, Wang, GJ,
Fowler, JS, Logan, J, Franceschi, D, Maynard, L, et al. Relationship between blockade of
10 dopamine transporters by oral methylphenidate and the increases in extracellular dopamine:
therapeutic implications. Synapse 2002; 43, 181-187). This dopamine hypothesis of ADHD
suggests a number of candidate genes that could logically be tested for their association with
the disorder. The draft human genome sequence (International Human Genome Sequencing
15 Consortium, Initial sequencing and analysis of the human genome. Nature 2001; 409, 860-
921; Riethman, HC, Xiang, Z, Paul, S, Morse, E, Hu, X-L, Flint, J, Chi, H-C, Grady, DL, and
Moyzis, RK. Integration of telomeric sequences with the draft human genome sequence.
Nature 2001; 409, 948-951; Cowan, WM, Kopnisky, KL, and Hyman, SE. The Human
Genome Project and its impact on Psychiatry. Annu Rev Neurosci 2002; 25, 1-50) has
20 provided information sufficient to examine multiple candidate genes in parallel, often
representing most of the proteins in a relevant biochemical pathway.

One of these candidate genes, *DRD4* (Van Tol, HHM, Bunzow, JR, Guan, H-C,
Sunahara, RK, Seeman, P, Niznik, HB and Civelli, O. Cloning of the gene for a human
25 dopamine D4 receptor with high affinity for the antipsychotic clozapine. Nature 1991; 350,
610-614), located near the telomere of chromosome 11p, is one of the most variable human
genes known (Lichter, JB, Barr, CL, Kennedy, JL, VanTol, HHM, Kidd, KK, and Livak, KJ.
A hypervariable segment in the human dopamine receptor D4 (*DRD4*) gene. Human
30 Molecular Genetics 1993; 2, 767-773; Chang, F-M, Kidd, JR, Livak, KJ, Pakstis, AJ, and
Kidd, KK. The world-wide distribution of allele frequencies at the human dopamine D4
receptor locus. Hum Genetics 1996; 98, 91-101; Ding, Y-C, Wooding, S, Harpending, HC,
Chi, H-C, Li, H-P, Fu, Y-X et al. Population structure and history in East Asia. Proc Natl
Acad Sci USA 2000; 97, 14003-14006; Ding, Y-C, Chi, HC, Grady, DL, Morishima, A,
35 Kidd, JR, Kidd, KK et al. Evidence of positive selection acting at the human dopamine
receptor D4 gene locus. Proc Natl Acad Sci USA 2002; 99, 309-314.)

1 What is needed are genetic marker(s) useful in the diagnosis of ADHD, and methods for using the same.

SUMMARY OF THE INVENTION

5 The present invention provides a reagent useful for diagnosing attention deficit hyperactivity disorder (ADHD), comprising a polynucleotide corresponding to an allele of *DRDR* associated with individuals exhibiting ADHD.

10 The present invention further provides a reagent useful for diagnosing ADHD, comprising a polynucleotide corresponding to the *DRD4 7R* allele.

 The present invention further provides a reagent useful for diagnosing ADHD, comprising a polynucleotide corresponding to a marker the locus of which is within a block of linkage disequilibrium surrounding the *DRD4 7R* allele.

15 The present invention further provides a reagent useful for diagnosing ADHD, comprising a pair of oligonucleotides corresponding to an allele of *DRDR* associated with individuals exhibiting ADHD.

 The present invention further provides a reagent useful for diagnosing ADHD, comprising a pair of oligonucleotides corresponding to the *DRD4 7R* allele.

20 The present invention further provides a reagent useful for diagnosing ADHD, comprising a pair of oligonucleotides corresponding to a marker the locus of which is within a block of linkage disequilibrium surrounding the *DRD4 7R* allele.

 The present invention further provides a method for diagnosing ADHD in an individual, comprising the steps of:

25 a) obtaining a tissue sample from the individual;
 b) treating the sample so as to expose DNA present in the sample;
 c) contacting the exposed DNA with a labeled DNA oligomer under conditions permitting hybridization of the DNA oligomer to any DNA complementary to the DNA oligomer present in the sample, the DNA complementary to the DNA oligomer containing the *DRD4 7R* allele;

30 d) removing unhybridized, labeled DNA oligomer; and
 e) detecting the presence of any hybrid of the labeled DNA oligomer and DNA complementary to the DNA oligomer present in the sample, thereby detecting and diagnosing ADHD.
35

1 The present invention further provides a method for diagnosing ADHD in an individual, comprising the steps of:

- 2 a) obtaining a tissue sample from the individual;
- 3 b) treating the sample so as to expose DNA present in the sample;
- 4 c) contacting the exposed DNA with a labeled DNA oligomer under conditions
- 5 permitting hybridization of the DNA oligomer to any DNA complementary to the DNA oligomer present in the sample, the DNA complementary to the DNA oligomer containing a
- 6 marker within a region of strong linkage disequilibrium to the *DRD4* 7R allele;
- 7 d) removing unhybridized, labeled DNA oligomer; and
- 8 e) detecting the presence of any hybrid of the labeled DNA oligomer and DNA
- 9 complementary to the DNA oligomer present in the sample, thereby detecting and diagnosing
- 10 ADHD.

11 The present invention further provides a method for diagnosing ADHD in an individual, comprising the steps of:

- 12 a) obtaining a tissue sample from the individual;
- 13 b) providing an oligonucleotide complementary to the sense strand of the *DRD4* gene;
- 14 c) providing an oligonucleotide complementary to the antisense strand of the *DRD4*
- 15 gene;
- 16 d) treating the sample so as to expose DNA present in the sample;
- 17 e) contacting the exposed DNA with the oligonucleotides under conditions permitting
- 18 amplification of the *DRD4* gene;
- 19 f) sequencing the product of the amplification; and
- 20 g) detecting the presence of the *DRD4* 7R allele in the sample, thereby detecting and
- 21 diagnosing ADHD.

22 The present invention further provides a method for diagnosing ADHD in an individual, comprising the steps of:

- 23 a) obtaining a tissue sample from the individual;
- 24 b) providing an oligonucleotide complementary to the sense strand of a marker
- 25 sequence found in an area of strong linkage disequilibrium with the *DRD4* 7R allele;
- 26 c) providing an oligonucleotide complementary to the antisense strand of the marker
- 27 sequence;
- 28 d) treating the sample so as to expose DNA present in the sample;

- 1 e) contacting the exposed DNA with the oligonucleotides under conditions permitting amplification of the marker sequence;
- f) sequencing the product of the amplification; and
- 5 g) detecting the presence of the marker sequence in the sample, thereby detecting and diagnosing ADHD.

BRIEF DESCRIPTION OF THE DRAWINGS

10 **Figure 1** Diagrammatic representation of the human *DRD4* gene region. Exon positions are indicated by blocks (yellow: noncoding, orange: coding). The approximate positions of a 120bp promoter region duplication (blue triangle), an exon 1 12bp duplication (blue triangle), an exon 3 48bp VNTR (blue triangle), and two intron 3 SNPs are indicated. 2R through 11R variants of the 48bp VNTR are indicated below exon 3 (blue), along with their worldwide population frequencies determined by PCR analysis (Chang, F.-M., Kidd, J.R., Livak, K.J., Pakstis, A.J., and Kidd, K.K. (1996) *Hum. Genet.* 98, 91-101; Ding, Y.-C., Wooding, S., Harpending, H.C., Chi, H.-C., Li, H.-P., Fu, Y.-X., Pang, J.-F., Yao, Y.-G., Yu, J.-G.X., Moyzis, R., and Zhang, Y.-P. (2000) *Proc. Natl. Acad. Sci. USA.* 97, 14003-14006).

20 **Figure 2** Nucleotide and amino acid sequences of VNTR motifs. The nucleotide and corresponding amino acid (red) sequences of 35 *DRD4* exon 3 48bp repeat motifs are shown. Prior nomenclature (Lichter, J.B., Barr, C.L., Kennedy, J.L., Van Tol, H.H.M., Kidd, K.K. and Livak, K.J. (1993) *Human Molecular Genetics* 2, 767-773) for 19 of these motifs are indicated (α through ξ). The putative single step origin of most of these motifs is indicated, either as a recombination event (R) or a mutation event (M). For example, the seven motif is hypothesized to be a recombination between a 2 motif and a 3 motif (R 2/3) and the 8 motif is hypothesized to be a single point mutation of a 2 motif (M 2). Motifs 1 through 6, which account for the vast majority of observed haplotype variants (Table 1), are considered the progenitors. Motifs with no putative origin noted (for example, motif 15), have multiple possible progenitors.

35 **Figure 3** Proposed origin of *DRD4* diversity. A simplified model for exon 3 48bp repeat sequence diversity is shown, with only major recombination events indicated (Fig. 2). The major 2R, 4R, and 7R-alleles are shown in yellow, and the minor 3R, 5R, and 6R-alleles in gray, along with their hypothesized origins by unequal recombination (red arrows). Large red arrows indicate the putative multistep origin of the 7R-allele. Adjacent promoter region (L_1/S_1), exon 1 (L_2/S_2), and intron 3 (G-G/A-C) polymorphisms are

1 indicated. The strong linkage of the L₁, L₂ and A-C polymorphisms with the *DRD4* 7R-allele is noted.

5 **Figure 4.** Proposed origin of ADHD/*DRD4* allele diversity. A model for *DRD4* exon 3 repeat sequence diversity is shown. The ancestral 4R(1-2-3-4) and 7R(1-2-6-5-2-5-4) alleles are noted in yellow, with large red arrows indicating the multistep origin of the 7R-allele. The proposed mutational or recombinational origins of the 12 novel alleles reported in this study are indicated along the blue arrows. Amino acid changes are also indicated. Haplotype nomenclature as described in Figure 2.

10 **Figure 5.** A simplified diagram of complex genetic disorders. The left colored circles represent the potentially overlapping phenotypes classified together as a single disorder. In the current study, the refined phenotype of ADHD without comorbidity is proposed to represent one of the circles. The Gene 1 --- Gene N displayed along the DNA molecule indicates our inability to estimate the number of genes associated with the disorder. Likewise, the double-headed arrows represent our inability to predict how these genes interact to produce the phenotype(s) depicted at left. Some fraction of the disorder may have a nongenetic cause (arbitrarily represented as 0.2 nongenetic in the diagram), for example brain damage in the case of ADHD. (Swanson, JM, Oosterlaan, J, Murias, M, Schuck, S, Flodman, P, Spence, MA, et al. Attention deficit/hyperactivity disorder children with a 7-repeat allele of the dopamine receptor D4 gene have extreme behavior but normal performance on critical neuropsychological tests of attention. Proc Natl Acad Sci USA 2000; 97, 4754-4759.) The Genes 1 --- Gene N account for some fraction of the disorder (arbitrarily represented as 0.2 each in the diagram). Two widely discussed models for how genetic variants predispose to common disorders are shown, the Common Variant-Common Disorder (CVCD) hypothesis, and the Allelic Heterogeneity or Rare Variant-Common Disorder (RVCD) hypothesis.

30 **Figure 6.** Contrast between rare single gene disorders and common complex genetic disorders. For single gene disorders, for example Huntington Disease (Huntington's Disease Collaborative Research Group. A novel gene containing a trinucleotide repeat that is unstable on Huntington's Disease chromosomes. Cell 1993; 72, 971-983)(left), predisposing alleles (indicated by $a=0.0001$) and the disease frequency (indicated by $a/x=0.0002$) are rare. Therefore, one observes a dramatic increase in allele frequency (and relative risk) in probands. For complex disorders related to common alleles, however, only modest increases in allele frequency (and relative risk) are expected. In the example shown (right), three

1 predisposing alleles (*DRD4* 7R,b,c) in three different genes are hypothesized to interact. Each allele is proposed to be at polymorphic frequency in the population (0.05-0.12). Individuals with predisposing genotypes [(*DRD4* 7R/x)(b/x), (*DRD4* 7R/x)(c/x), (b/x)(c/x)]
 5 represent 0.05 of the population, the approximate frequency of ADHD (Faraone, SV, Doyle, AE, Mick, E, and Biederman, J. Meta-analysis of the association between the 7-repeat allele of the dopamine D4 receptor gene and attention deficit hyperactivity disorder. *Am J Psychiatry* 2001; 158, 1052-1057). The observed increase in alleles *DRD4* 7R,b, and c in probands ranges from 4-fold (if all cases are caused by these genes) to 2-fold (if only 50% of cases are caused by these genes). For example, a significant fraction of ADHD may have nongenetic causes, yet these cases will be included in our proband population (Figure 5).

Figure 7. Polymorphism distribution at the *DRD4* locus. Seventy *DRD4* polymorphisms are displayed using VG (Nickerson, D.A., Taylor, S.L., Weiss, K.M., Clark, A.G., Hutchinson, R.G., Steingard, J., et al. (1998) *Nature Genet* 19, 233-240), with
 15 individual variants aligned along the horizontal axis. Approximate locations of the variants along the *DRD4* loci (GenBank AC021663) are indicated by blue lines reaching to the diagrammatic representation of the gene (above). In this representation, exon positions are represented by blocks (yellow, noncoding, orange, coding; +1 = translation start), and the positions of Alu repetitive sequences by pointed blue blocks. The position of a 120bp upstream duplication and the exon 3 48bp VNTR are indicated by green triangles. A 288 bp site (-809 To -521) at the promoter region that contains an anomalously high number of SNPs is indicated. These SNPs exhibit little 4R versus 7R frequency difference. Individuals
 20 (vertical axis) are grouped by VNTR length (4R/4R, 7R/7R, and 2R/2R) and geographic origin (African, European, etc.) as indicated. Homozygotes for the allele with the highest relative frequency (common allele) are indicated by blue squares, homozygotes for alternative (rare) alleles by yellow squares, and heterozygotes by red squares. The 7R/7R and 2R/2R individuals were greatly oversampled in comparison to their population frequency, and hence common and rare alleles were defined by the frequency in a randomly sampled population.

Figure 8. Pairwise linkage disequilibrium (D') at the *DRD4* locus. The program GOLD (Abecasis, G.R., and Cookson, W.O. (2000) *Bioinformatics* 16, 182-183) was used to
 35 generate and display all pairwise values of LD for 31 *DRD4* polymorphisms with minor alleles >0.01. Separate calculations were performed on 4R/4R (top) and 7R/7R (bottom) populations. The color scale indicated grades LD values from 0.00 (blue) to 1.00 (red). At the

1 short distances used in this study (< 6kb), LD values of approximately 0.6 are expected by chance (Kruglyak, L. (1999) Nature Genet 22, 139-144).

5 **Figure 9.** SNP recombination fraction for *DRD4* 7R alleles. The observed percent recombination at the 18 SNPs from Table 5 is plotted versus distance from the 7R VNTR. The curve is an empirically determined least squared fit to the data. The diagrammatic representation of the *DRD4* locus is as described in Figure 7.

10 **Figure 10.** A diagrammatic model for *DRD4* variant selection. *DRD4* 2R, 4R and 7R protein variants are shown aligned along a scale of relative efficiency for Camp reduction (normalized to 4R = 1.0), calculated from the data of Asghari et al (Asghari, V., Sanyal, S., Buchwaldt, S., Paterson, A., Jovanovic, V., and Von Tol, H.H.M. (1995) J. Neurochem. 65, 1157-1165). The diagrammatic protein models were constructed using the rhodopsin crystal structure as a framework. The unusual derivation of the 7R allele from the ancestral 4R allele (approximately 42,500 years ago), and its increase in prevalence is indicated by a red to blue arrows. The subsequent derivation of the 2R allele from a 7R/4R recombination is indicated by multiple yellow arrows.

20 DETAILED DESCRIPTION OF THE INVENTION

20 All publications mentioned herein are incorporated herein by reference in their entireties. The publications discussed above, below and throughout the text are provided solely for their disclosure prior to the filing date of the present application. Nothing herein is to be construed as an admission that the inventor is not entitled to antedate such disclosure by virtue of prior invention.

25 As discussed below in more detail, the present inventors have shown that a strong linkage disequilibrium (LD) exists between the 7R-allele of *DRD4*, disproportionately represented in individuals diagnosed with ADHD, and surrounding *DRD4* polymorphisms. Markers within this large LD block thus are useful in the diagnosis of ADHD. It should be noted that due to the strong LD discovered by the present inventors, any marker within this region is potentially useful for diagnosing ADHD, as will be appreciated by one of skill in the art. Such new markers may be identified by techniques well known in the art. Accordingly, the diagnostic reagents of the present invention are not limited to specific *DRD4* polymorphisms, but also include other markers now known or subsequently identified in the block of LD surrounding the 7R-allele of *DRD4*.

Evidence of Positive Selection Acting at the Human Dopamine Receptor D4 Gene Locus

Associations have been reported of the 7-repeat (7R) allele of the human dopamine receptor D4 (*DRD4*) gene with both attention deficit/hyperactivity disorder (ADHD) and the personality trait of novelty seeking. This polymorphism occurs in a 48 bp tandem repeat (VNTR) in the coding region of *DRD4*, with the most common allele containing four repeats (4R), and rarer variants containing two to eleven. Here, we show by DNA resequencing/haplotyping of 600 *DRD4* alleles, representing a worldwide population sample, that the origin of 2R- through 6R-alleles can be explained by simple one-step recombination/mutation events. In contrast, the 7R-allele is not simply related to the other common alleles, differing by greater than 6 recombinations/mutations. Strong linkage disequilibrium (LD) was found between the 7R-allele and surrounding *DRD4* polymorphisms, suggesting this allele is at least 5-10 fold "younger" than the common 4R-allele. Based on an observed bias towards nonsynonymous amino acid changes, the unusual DNA sequence organization, and the strong LD surrounding the *DRD4* 7R-allele, we propose that this allele originated as a rare mutational event that nevertheless increased to high frequency in human populations by positive selection.

The human *DRD4* gene (Van Tol, H.H.M., Bunzow, J.R., Guan, H.-C., Sunahara, R.K., Seeman, P., Niznik, H.B. and Civelli, O. (1991) *Nature* 350, 610-614), located near the telomere of chromosome 11p, is one of the most variable human genes known. Most of this diversity is the result of length and single nucleotide polymorphism (cSNP) variation in a 48bp tandem repeat (VNTR) in exon 3, encoding the third intracellular loop of this dopamine receptor. Variant alleles containing two (2R) to eleven (11R) repeats are found, with the resulting proteins having 32 to 176 amino acids at this position. Interestingly, the frequency of these alleles varies widely. The 7R-allele, for example, has an extremely low incidence in Asian populations, yet a high frequency in the Americas.

A number of investigations have found associations between particular alleles of this highly variable gene and behavioral phenotypes (La Hoste, G.J., Swanson, J.M., Wigal, S.B., Glabe, C., Wigal, T., King, N., and Kennedy, J.L. (1996) *Molecular Psychiatry* 1, 21-24; Swanson, J.M., Flodman, P., Kennedy, J., Spence, M.A., Moyzis, R., Schuck, S., Murias, M., Moriarity, J., Barr, C., Smith, M., et al., (2000) *Neuroscience and Behavioral Reviews* 24, 21-25; Swanson, J.M., et al. (2000) *Proc. Natl. Acad. Sci. USA* 97, 4754-4759; Ebstein, R.P., Novick, O., Umansky, R., Priel, B., Osher, Y., Blaine, D., Bennett, E.R., Nemanov, L., Katz, M., and Belmaker, R.H. (1996) *Nature Genetics* 12, 78-80; Benjamin, J., Li, L., Patterson,

1 C., Greenberg, B.D., Murphy, D.L. and Hamer, D.H. (1996) *Nature Genetics* 12, 81-84).
While initial studies suggested that the 7R-allele of the *DRD4* gene might be associated with
the personality trait of novelty seeking, the most reproduced association is between the 7R-
5 allele and attention deficit/hyperactivity disorder (ADHD) (Swanson, J., Deutsch, C.,
Cantwell, D., Posner, M., Kennedy, J., Barr, C., Moyzis, R., Schuck, S., Flodman, P., and
Spence, M.A. (2001) *Clinical Neuroscience Research* 1, 207-216). ADHD is the most
prevalent disorder of early childhood, affecting an estimated 3% of elementary school
10 children. As defined by DSM-IV criteria (Am. Psychiatr. Assoc. (1994) *DSM-IV: Diagnostic
and Statistical Manual of Mental Disorder* (Forth Edition) (Am. Psychiatr. Assoc.,
Washington, DC)), ADHD consists of developmentally inappropriate inattention, impulsivity
and hyperactivity with early onset (before the age of 7). Evidence of a strong genetic
15 component of ADHD has come from a variety of twin, adoption, and family studies (Faraone,
S.V. and Biederman, J. (1994) *Child Adolesc. Clin. North Am.* 3, 285-291; Thaper, A.,
Holmes, J., Poulton, K., and Harrington, R. (1999) *Br. J. Psychiatry* 174, 105-111). The
efficacy of methylphenidate in the treatment of ADHD indicated that genes in the dopamine
20 pathway might play a role in the syndrome's etiology (Volkow, N.D., Wang G.J., Fowler,
J.S., Fischman, M., Foltin, R., Abumrad, N.N., Gatley, S.J., Logan, J, Wong, C, Gifford, A, et
al., (1999) *Life Sci.* 65, 7-12). Initial association studies found ADHD probands to exhibit an
increased frequency of *DRD4* 7R-alleles in comparison to controls. Eight separate
replications of this initial observation have now been reported. As in all association studies,
25 however, one can not assume that the presence of a *DRD4* 7R-allele is either necessary or
sufficient to "cause" ADHD. Further work will be required to understand the
genetic/environmental factors underlying this behavior.

Nevertheless, given the likely functional importance of this change in the *DRD4*
protein, in a region that couples to G-proteins and mediates post-synaptic effects (Asghari,
30 V., Sanyal, S., Buchwaldt, S., Paterson, A., Jovanovic, V., and Von Tol, H.H.M. (1995) *J.
Neurochem.* 65, 1157-1165), these association studies have generated considerable interest.
In particular, this association is consistent with the common variant-common disorder
(CVCD) hypothesis, which proposes that the high frequency of many complex genetic
diseases is related to common DNA variants (Collins, F.S., Guyer, M.S., and Chakravarti, A.
35 (1997) *Science* 278, 1580-1581; Zwick, M.E., Cutler, D.J., and Chakravarti, A. (2000) *Ann.
Rev. Genomics Hum. Genet.* 1, 387-407). However, many questions remain as to the nature
of the *DRD4*/ADHD association. One would like to know 1) if particular 7R-allele variants

1 are associated with ADHD, 2) the population distribution of variant *DRD4* alleles, and/or 3)
whether the observed marker is in linkage disequilibrium (LD) with other etiologically
relevant polymorphisms. Given the known high level of sequence polymorphism of this
5 gene, PCR-based DNA resequencing is the most efficient and accurate method to address
these questions. Here, we use this approach to determine A) the population distribution of
DRD4 exon 3 haplotypes and B) their relative association with adjacent polymorphisms. We
present haplotype data indicating that the *DRD4* 7R-allele originated as a rare mutational
event (or events), that nevertheless increased to high frequency in human populations by
10 positive selection.

Methods

Population Samples. Samples were obtained as reported previously (Chang, F.-M.,
Kidd, J.R., Livak, K.J., Pakstis, A.J., and Kidd, K.K. (1996) *Hum. Genet.* 98, 91-101; Ding,
15 Y.-C., Wooding, S., Harpending, H.C., Chi, H.-C., Li, H.-P., Fu, Y.-X., Pang, J.-F., Yao, Y.-
G., Yu, J.-G.X., Moyzis, R., and Zhang, Y.-P. (2000) *Proc. Natl. Acad. Sci. USA.* 97, 14003-
14006). The origins of the 600 alleles reported in this study, based on geographical/ethnic
origin, are as follows: North and South America, 12.7% (76 alleles), Europe, 36.7% (220
alleles), Asia, 27.3% (164 alleles), Africa, 20.3% (122 alleles), and Pacific, 3.0% (18 alleles).
20 Lymphoblastoid cell lines have been established for most of these population samples, and
methods for transformation, cell culture, and DNA purification described. For LD studies of
the *DRD4* 4R-G-G SNP association, an additional 288 alleles (approximately equally derived
from African, Asian and European sources) were used. All persons gave their informed
25 consent prior to their inclusion in this study, carried out under protocols approved by the
Human Subjects Committees at the participating institutions.

PCR Amplification and DNA sequencing. PCR amplification of the *DRD4*
promoter polymorphism was conducted as described (Seaman, M.I., Fisher, J.B., Chang, F.-
30 M., and Kidd, K.D. (1999) *Am. J. Med. Genet.* 88, 705-709; McCracken, J.T., Smalley, S.L.,
McGough, J.J., Crawford, L., Del'Homme, M., Cantor, R.M., Liu, A., and Nelson, S.F.
(2000) *Mol. Psychiatry* 5, 531-536). The program OLIGO 6.0 was used to select primer pairs
for the exon 1 polymorphism (Catalano, M., Nobile, M., Novelli, E., Nothen, M.M., and
Smeraldi, E. (1993) *Biol. Psychiat.* 34, 459-464) (5'-TGGGCCCGCCGCATTCGT-3' and 5'-
35 GGTGGGTGTATCGCCGAGGGA-3'; 661-nucleotide product) and the exon 3 VNTR (5'-
CGTACTGTGCGGCCTCAACGA-3' and 5'-GACACAGCGCCTGCGTGATGT-3'; 705
nucleotide product for the 4R-allele). For some amplifications of the VNTR, primers

described previously were used (Lichter, J.B., Barr, C.L., Kennedy, J.L., Van Tol, H.H.M., Kidd, K.K. and Livak, K.J. (1993) Human Molecular Genetics 2, 767-773). The alternative primers were chosen farther from the VNTR, to minimize out-of-register hybridization during amplification. PCR reactions were conducted in 25 microliter volumes, containing 100ng genomic DNA, 200 micromolar dXTPs, 0.5 micromole of each primer, 1X PCR buffer (Qiagen), 1X Q-solution (Qiagen) and 0.625 units *Taq* DNA polymerase (Qiagen). Amplification was performed using Perkin-Elmer 9700 thermal cyclers. A 20 second, 96-degrees C hot start was used, followed by 40 cycles of 95 degrees C for 20 seconds and 68 degrees C for 1 minute. Following a 4-minute chase at 72-degrees C, excess primers were eliminated with 0.5 units of Shrimp Alkaline Phosphatase (SAP, Amersham Life Science), 0.1 unit of Exonuclease I (Exo I, Amersham Life Science) and 1X SAP buffer (Amersham Life Science). The SAP/Exo I reaction was carried out at 37 degrees C for 1 hour, followed by a 15-minute heat inactivation at 72-degrees C. The DNA from the SAP/Exo I reaction was used directly for DNA sequencing. For most individuals, the two allelic PCR products were first separated on 1.2-% agarose gels. DNA cycle sequencing was conducted by standard techniques, using ABI 377 and 3700 automated sequencers (Riethman, H.C., Xiang, Z., Paul, S., Morse, E., Hu, X.-L., Flint, J., Chi, H.-C., Grady, D.L., and Moyzis, R.K. (2001) Nature 409, 948-951). DNA sequences of the *DRD4* haplotypes reported herein have been submitted to GenBank (Accession numbers AF395210 through AF395264).

K_a/K_s and Allele age calculations. K_a/K_s ratios were calculated by standard methods (Kimura, M. (1968) Nature 217, 624-626; Kreitman, M. (2000) Ann. Rev. Genomics Hum. Genet. 1, 539-559). Putative recombinant haplotypes were not considered independent events. Allele age calculations were conducted by standard methods (Harpending, H. and Rogers, A. (2000) Annu. Rev. Genomics Hum. Genet. 1, 361-385; Kimura, M. and Ohta, T. (1973) Genetics 75, 199-212; Slatkin, M. and Rannala, B. (2000) Ann. Rev. Genomics Hum. Genet. 1, 225-249; Serre, J.L., Simon-Bouy, B., Mornet, E., Jaume-Roig, B., Balassopoulou, A., Schwartz, M., Taillandier A, Boue J, Boue A., (1990) Hum. Genet. 84, 449-454). Briefly:

1) Calculated from population frequency.

$E(t_f) = [-2p/(1-p)] \ln(p)$, where $E(t_f)$ = expected age, time is measured in units of 2N generations, and p = population frequency. For *DRD4*, p = 19.2% for the 7R-allele and 65.1% for the 4R-allele. A generation time of 20-25 years and $N = 10,000$ were assumed (regarded as a minimum estimate of the effective population size of modern humans during the period prior to recent growth).

2) Calculated from intra-allelic variation.

$t = [1/\ln(1-c)] \ln [(x(t)-y)/(1-y)]$, where t = allele age, c = recombination rate, $x(t)$ = frequency in generation t , and y = frequency on normal chromosomes. Assuming the origin of the 7R-allele was on a L₁L₂(7R)A-C haplotype, for the (7R)A-C association $c = 0.0000136$ (from the average recombination rate per Mb times the VNTR-SNP distance), $x(t) = 97\%$ (the percent of A-C SNPs associated with *DRD4* 7R-alleles), and $y = 13.9\%$ (the percent of A-C SNPs associated with African *DRD4* 4R-alleles, assumed to be the "normal" allele). For the promoter polymorphism L₁(7R) association, $c = 0.000165$, $x(t) = 90.8\%$, and $y = 61.9\%$.

Results and Discussion

Primer sets were chosen to amplify the four exons of the highly GC-rich *DRD4* gene, as well as the adjacent promoter region and splice junctions (Fig.1). Initial resequencing of the entire promoter and coding region of the *DRD4* gene from 20 ADHD probands (data not shown) uncovered a number of polymorphisms reported previously. These polymorphisms included two insertion/deletion polymorphisms, one in the promoter region (4.3kb upstream of the VNTR) and one in exon 1 (2.7kb upstream of the VNTR; see Fig. 1). In addition, a number of new coding SNPs were uncovered in the exon 3 48bp VNTR, as well as two previously unreported SNPs in intron 3, 20 nucleotides apart and approximately 350bp downstream from the center of the VNTR (Fig. 1). Given the high level of VNTR polymorphism identified in this initial sample, a more extensive PCR-resequencing of 600 exon 3 VNTR alleles was conducted, obtained from a worldwide population sample (Table 1 and Fig. 2). This sample contained individuals representing most major geographical origins (see Methods). The majority of individuals were heterozygotes, and the two allelic PCR products could be separated by gel electrophoresis prior to sequencing, providing unambiguous haplotypes. Altogether, we screened over 450,000bp of genomic DNA and 2,968 48bp repeats.

Table 1. Haplotypes of 600 *DRD4* exon 3 alleles

Allele	F	N	Haplotype	Allele	F	N	Haplotype
2R	0.038	55		6R	0.022	24	
		43	1-4			16	1-2-3-2-3-4
		12	3D-4*			2	1-2-6-5-2-20
3R	0.024	36				2	1-2-6-5-2-4
		16	1-7-4			1	1-2-14-17-2-4
		9	1-2-4			1	1-6-5-2-5-4
		4	1-11-33*			1	1-2-13-2-5-19
		3	1-9-4			1	24-6-5-2-5-4
		1	1-2-22	7R	0.192	199	
		1	1-2-21			177	1-2-6-5-2-5-4
		1	1-2-31			5	1-2-6-5-2-5-19*
		1	1-2-32			3	1-2-6-5-2-3-4
4R	0.651	250				3	1-2-6-5-13-5-4*
		238	1-2-3-4			2	1-8-25-5-2-5-4
		3	1-2-14-4			2	1-2-3-5-2-5-4
		2	1-2-13-4			1	1-2-6-5-2-13-4
		2	1-2-12-4			1	1-2-29-17-2-5-4
		1	1-17-3-4			1	1-2-6-2-2-5-4
		1	1-9-12-4			1	1-8-25-5-2-3-4
		1	1-8-3-4			1	1-2-6-16-2-3-4
		1	1-10-3-4			1	1-2-6-5-2-14-4
		1	1-9-3-4			1	1-2-3-17-2-5-4
5R	0.016	27		8R	0.006	6	
		12	1-3-2-3-4*			2	1-2-6-5-17-2-13-35*
		4	1-2-13-34-4*			1	1-2-6-5-2-2-5-4
		3	1-2-2-3-4			1	1-2-6-26-5-26-3-35
		2	1-2-6-5-4			1	1-2-6-26-5-26-3-4
		2	1-11-2-3-4			1	1-2-6-18-5-18-3-4
		1	1-3-2-14-4	9R	<0.001	1	1-8-25-5-2-5-2-23-4
		1	1-2-6-23-4	10R	<0.001	1	1-2-15-6-2-6-5-2-5-4
		1	1-2-3-9-4	11R	<0.001	1	1-2-3-27-5-23-25-5-2-5-28
		1	1-2-3-27-4				

F, observed allele frequency in 2,836 chromosomes from 37 worldwide human populations (3,17); N, allele number identified by sequence analysis in this study (non-4R alleles were oversampled by 2-3-fold); haplotype, haplotypes are indicated using the repeat motif nomenclature proposed (Fig. 2). Alleles with adjacent asterisks indicate common variants found only in a single population sample (2R 3D-4, Surui; 3R 1-11-33, Naslet; 5R 1-3-2-3-4, Chinese; 5R 1-2-13-34-4, Biaka; 7R 1-2-6-5-2-5-19, Surui; 7R 1-2-6-5-13-5-4, Naslet; 8R 1-2-6-5-17-2-13-35, Biaka). Alleles with a single representation by definition were found in only one population.

In the 600 chromosomes sequenced, 56 different haplotypes were found (Table 1). These haplotypes were composed of 35 distinct 48 bp variant motifs (Fig. 2), 19 of which were reported previously (designated Alpha through Xi in Fig. 2). We propose that these *DRD4* 48bp variant motifs are given numbers as shown, rather than the letters used previously, since there are not enough characters in the Greek alphabet. We propose that *DRD4* exon 3 variants be designated in the format shown, i.e., the most common 4R allele being designated 4R(1-2-3-4), etc.

We intentionally over sampled non-4R-alleles approximately two-fold, since little sequence variation was uncovered in the common 4R-allele (Table 1), even though it represents 65 percent of the world population frequency. Most of the haplotypes in this sample (85.7%) were found at frequencies less than 1% (Table 1). Looking at nucleotide diversity among variants defined by their VNTR number, the common 2R, 4R, and 7R-alleles exhibit the least diversity, with 78.2%, 95.2%, and 88.9% of the alleles respectively represented by the most common 2R(1-4), 4R(1-2-3-4), and 7R(1-2-6-5-2-5-4) haplotypes (Table 1). In contrast, while the 3R, 5R, 6R, and 8R alleles are rarer, they have proportionally more variants (Table 1). This unusual pattern of allele diversity is clearly not a simple length effect, i.e., longer alleles have greater diversity. Many population specific

1 rare haplotypes were observed. Examples include the 2R(30-4) haplotype found only in the
Surui (South America) sample, and the 5R(1-3-2-3-4) haplotype found only in the Han
Chinese (Asian) sample (Table 1 and Fig. 2).

5 The pattern of nucleotide variation observed in the VNTR haplotypes is not random
(Fig. 2). Most DNA sequence variants change the amino acid sequence, sometimes quite
dramatically (i.e., Gln to Pro; Fig. 2). Although many of these variants are related mutational
events (below), one can account for these relationships in calculating K_a/K_s (the ratio of the
10 number of amino acid replacements per site divided by the estimate of the number of
synonymous changes). Values of K_a/K_s greater than 1 are usually taken to be a stringent
indicator of positive selection at the observed DNA segment. For a tandem repeat sequence,
many assumed relationships can be inferred, and hence different K_a/K_s ratios calculated. For
all assumed relationships of the *DRD4* variants, however, $K_a/K_s > 1$. For example, assuming
15 that the most abundant 1 through 6-variant motifs (Fig. 2) all have a common origin, and that
diversity was generated by both mutation and recombination (below), a K_a/K_s value of 3 is
obtained. Expanding this analysis to include between-species divergence (a powerful method
to improve these calculations) is not possible, due to the rapid de novo generation of variation
in this VNTR in primate lineages (Livak, K.J., Rogers, J., and Lichter, J.B. (1995) Proc. Natl.
20 Acad. Sci. USA 92, 427-431).

Standard approaches to defining evolutionary relationships between these haplotypes
are not applicable, due to the repetitive nature of the DNA sequence. Based on the observed
DNA sequences and their nucleotide variations, however, it is straightforward to propose a
25 simple origin for the majority of these haplotypes (Fig. 3; Table 1). One-step
recombination/mutation events between the most common alleles can account for nearly all
of the observed variation of the 2R through 6R alleles. Figure 3 is a simplified diagram of
the most common recombination events proposed. While the inferred nucleotide sequence of
an ancestral *DRD4* cannot be determined, all alleles in a particular primate species appear to
30 be derived from a relatively recent common ancestor. The most prevalent 4R-allele is
proposed as the human progenitor allele, based on 1) limited sequence data reported for
primate *DRD4* 4R-alleles, 2) the lower level of LD for polymorphisms surrounding this allele
(as discussed below), and 3) the sequence motif arrangements of the non-4R alleles.
35 Unequal recombination between two 4R(1-2-3-4) alleles would produce the observed
common 2R through 6R alleles (Fig. 3). The position of crossover determines the resulting
sequence. For example the most common 3R(1-7-4) and 3R(1-2-4) alleles differ only in the

1 position of crossover, either within or after the second repeat (Fig. 3; Table 1). Thus, the
known high frequency of unequal recombination between tandem repeats (Jeffreys, A.J.,
Neil, D.L., and Neumann, R. (1998) EMBO J. 17, 4147-4157) can account for most of the
observed diversity of the *DRD4* gene.

5 In addition to unequal crossovers, single point mutations are evident in this population
sample (Table 1 and Fig. 2). For example, with one exception, all 2R alleles worldwide have
the sequence 2R(1-4) (Table 1). All twelve 2R alleles resequenced from Surui (South
American) DNA were found to contain a single point mutation, the 2R(30-4) allele (Table 1
10 and Fig. 2). This mutation, a C to T change in the first repeat, does not alter the amino acid
sequence, and likely has a recent (less than 10,000-20,000 year) origin.

In contrast, the formation of the observed 7R and higher alleles cannot be explained
by simple one-step recombination/mutation events from the 4R(1-2-3-4) haplotype (Fig. 3).
15 The generation of a 7R allele from the most prevalent 4R allele would require at least one
recombination and 6 mutations to arise. Even allowing for more complicated gene
conversion events, multiple low probability steps are needed to convert a 4R allele into a 7R
allele (Fig. 3). For example, the central 5-variant motif found in the common 7R(1-2-6-5-2-
5-4) haplotype could be produced by a recombination between two 4R-alleles.
20 Recombination between the terminal 4-variant motif of one 4R-allele and the initial 1-variant
motif of the second 4R-allele would yield a 7R(1-2-3-5-2-3-4) haplotype (Fig. 2). Three
additional mutations of each of the two three-variant motifs in this putative 7R-haplotype are
then required to produce the current 7R(1-2-6-5-2-5-4) haplotype. Four of these six
25 nucleotide changes are nonsynonymous, altering the amino acid sequence (Ser to Gly, Gln to
Pro, Ala to Pro, and Ser to Gly; Fig. 2). While gene conversion rather than mutation could be
proposed as the mechanism to "insert" these nucleotide changes in a hypothetical 7R(1-2-3-5-
2-3-4) allele, two unlikely events, one involving 7R-7R allele gene conversion, would be
necessary (Figs. 2 and 3).

30 None of these putative "intermediate" 7R haplotypes were observed in this worldwide
population sample. Our sample included 47 7R-alleles sequenced from individuals of
African origin, thought to contain populations with the greatest genetic diversity and age. It
is unlikely, then, that "intermediate" 7R haplotypes exist at high frequency. It is not our
35 intention, however, to propose a specific origin of the *DRD4* 7R-allele. Rather, we wish to
emphasize that, based on DNA sequence analysis, the *DRD4* 7R-allele appears to be quite

1 distinct from the common 2R through 6R alleles. It is impossible to determine if the origin of the *DRD4* 7R-allele was a single, highly unlikely event, or a series of unlikely events (Fig. 3).

5 Regardless of the mechanism of origin of the *DRD4* 7R-allele, it is clearly capable of participating in recombination events with the other alleles. Most of the rare 7R haplotypes observed appear to be recombination events, mostly with the common 4R(1-2-3-4) allele (Table 1). For example, the 7R(1-2-6-5-2-3-4) haplotype appears to be a recombination between a 4R(1-2-3-4) allele and a 7R(1-2-6-5-2-5-4) allele (Table 1 and Fig. 2). This origin was confirmed by analyzing SNPs outside the recombination region (see below). Further, the origin of some of the rare 5R and 6R alleles and all of the 8R and higher alleles can be explained by recombinations involving a 7R allele, since they contain the 6-variant motif, unique to the 7R allele (Fig. 2 and Table 1). Many of these 8R and higher alleles, however, appear to have more complicated origins, based on DNA sequence analysis (Table 1 and Fig. 2).

15 This model (Fig. 3) explains the apparent anomaly in the observed haplotype diversity noted above (Table 1), where the most abundant (and ancient, see below) 4R-allele has the lowest nucleotide diversity. If recombination is the predominant generator of diversity, then the majority of 4R/4R recombination events are predicted to have unchanged nucleotide sequence. Such events can only be inferred by recombination of outside markers. Only when out-of-register recombination occurs will new nucleotide sequence (and length) variants be generated (Fig. 3). The observed pattern of haplotype diversity is consistent with a predominantly "2-allele" system (4R and 7R), with most of the rarer variants generated by recombination from these two haplotypes (Fig. 3).

25 The unusual nature of the sequence organization of the *DRD4* 7R-allele, suggesting it arose as a rare mutational event, led us to determine if differences in LD exist between the 4R and 7R-alleles. The haplotype of two adjacent intronic SNPs (G/A-G/C; Fig. 1) could be directly determined, since they were present on the same PCR product used to amplify the 48bpVNTR. Strong LD was found between the A-C SNP pair and the 7R-allele (Fig. 3). Ninety-seven percent of 7R-alleles were associated with the A-C SNP pair (66 out of 68 examined). The two 7R alleles associated with G-G SNPs were 7R/4R recombinant haplotypes, as determined originally from DNA sequence analysis (above). In contrast, both the G-G and A-C SNP pairs are associated with *DRD4* 4R-alleles (487 examined alleles). However, the G-G pair is most frequent, representing 86.1% of the African sample, but up to 98.6% of our Asian sample.

1 All African 7R-alleles were associated with the A-C haplotypes, while only 13.9% of
African 4R-alleles were associated with the A-C haplotype. DNA sequence analysis of
several chimp and bonobo samples (data not shown) indicates that the G-G SNP pair is likely
5 the ancestral sequence (Fig. 3). Thus, it appears that the original *DRD4* 7R allele arose on
this rarer A-C SNP background. A sample of 73 2R, 3R, 5R, and 6R-alleles showed
approximately equal association with the G-G and A-C SNPs, consistent with their proposed
recombinational origin from both the 4R and 7R-alleles (Fig. 3). Interestingly, all 26 Asian
10 2R-allele samples examined showed association with the A-C SNPs, suggesting their origin
from recombinations involving 7R-alleles (Fig. 3).

Similar results were obtained for more distant promoter and exon 1 insertion/deletion
polymorphisms (Fig. 1). In this case association was inferred indirectly from data obtained
for our prior population studies and PCR analysis of a subset of the individuals used in this
15 study. For forty samples where parental DNA was also available and could be genotyped for
these markers, phase could be directly inferred. Strong association was observed between the
long (duplicated) L_1 promoter polymorphism (Fig. 1) and the 7R-allele (Fig. 3), with 90.8%
of 7R-alleles associated with L_1 (607 alleles analyzed). In contrast, the L_1 polymorphism is
coupled with only 61.9% of 4R-alleles (2102 alleles analyzed). While population specific
20 variation was observed (for example, more L_1 -4R coupling in Chinese than African
populations), little overall L_1 -4R linkage was detected (Fig. 3). The closer L_2 polymorphism
in exon 1 (Fig. 1) was associated with 93.4% of 7R-alleles and 86.4% of 4R-alleles, a relative
difference similar to that observed for the L_1 -7R and L_1 -4R association. The L_2/S_2
25 polymorphism is in a coding region, however, and selective constraints may be influencing
allele frequency as well (Seaman, M.I., Chang, F.-M., Deinard, A.S., Quinones, A.T., and
Kidd, K.K. (2000) *J. Exp. Zool.* 288, 32-38).

Standard methods of estimating coalescence time for these alleles are not applicable,
30 given the repetitive nature of the region and the high recombination frequency. However,
calculations of allele age based on the relatively high worldwide population frequency of the
DRD4 4R and 7R-alleles suggest that these alleles are ancient (>300,000 years old) (see
Methods). On the other hand, calculations of allele age based on the observed intra-allelic
35 variability (see Methods) suggest the 7R-allele is 5-10 fold "younger" (30,000-50,000 years
old). Such large discrepancies between allele ages calculated by these two methods are
usually taken as evidence that selection has increased the frequency of the allele to higher
levels than expected by random genetic drift. The absolute values of these estimates are

1 greatly affected by the assumptions used in their computations, for example the assumed
recombination frequency. We have used conservative estimates of recombination frequency,
based on the average observed for the terminal 20 Mb of 11p (International Human Genome
Sequencing Consortium (2001) Nature 409, 860-921). Given the observed high
5 recombination at this locus (Table 1 and Fig. 3), it is likely that the actual age of the 7R-allele
is even younger, and further LD analysis will refine these estimates. The important
conclusion, however, is that regardless of the parameters assumed, the relative age
differences for the 4R and 7R-alleles calculated from intra-allelic variability remains large,
10 while their population frequency suggests they are both ancient.

The simplest hypothesis to account for 1) the observed bias in nucleotide changes
(K_a/K_s), 2) the unusual sequence organization of the *DRD4* 7R-allele, and 3) the strong LD
surrounding this allele, is that the 7R-allele arose as a rare mutational event (or events), that
15 nevertheless increased to high frequency by positive selection. Advantageous alleles usually
take a long time to reach a frequency of 0.1, then increase rapidly to high frequencies (>0.9).
While it is possible we are observing the recent expansion of a highly advantageous 7R-
allele, it is more likely, we suggest, that this "two-allele" *DRD4* system (Fig. 3) is an example
of balanced selection. Such selection may be more pervasive in the human genome than
20 generally thought. A balanced selection model proposes that both the 4R and 7R-alleles are
maintained at high frequencies in human populations. A variety of mechanisms could be
proposed for such balanced selection, ranging from heterozygote advantage to frequency-
dependent selection. According to evolutionary game theory (Smith, J.M. Evolution and the
25 Theory of Games. (1982) Cambridge: Cambridge University Press), the evolutionary payoff
for a particular kind of personality will depend on the existing distribution of personality
types. For example, high aggression may lead to high fitness if almost everyone is meek, but
might result in low fitness when very common, as aggressive individuals would suffer the
penalties of frequent conflict. This type of frequency-dependent selection might be expected
30 to apply to many types of psychological variation, including those associated with this
particular neurotransmitter receptor.

Alternative explanations to the proposed positive selection, such as recent random
bottlenecks, population expansion, and/or population admixture are less likely to account for
35 the observed results. Bottlenecks have certainly occurred during human migration and
evolution (Tishkoff, S.A., Dietzsch, E., Speed, W., Pakstis, A.J., Kidd, J.R., Cheung, K.,
Bonne-Tamir, B., Santachiara-Benerecetti, A.S., Moral, P., and Krings, M. (1996) Science

1 271, 1380-1387; Chen, C., Burton, M., Greenberger, E., and Dmitrieva, J. (1999) *Evol. Hum. Behav.* 20, 309-324; Reich, D.E., Cargill, M., Bolk, S., Ireland, J., Sabeti, P.C., Richter, D.J., Lavery, T., Kouyoumjian, R., Farhadian, S.F., Ward, R., and Lander, E.S. (2001) *Nature* 411, 199-204), and have undoubtedly influenced the current worldwide *DRD4* allele frequency.

5 Numerous population studies on other genes have shown that an "Out of Africa" constriction of allele diversity (and an increase in LD) likely occurred. In the present study, a greater diversity (and lower LD) was found for African *DRD4* 4R-alleles in comparison to the remainder of our population sample, which is consistent with the "Out of Africa" hypothesis.

10 While one could argue that the 7R-allele frequency was increased by chance during the Out-of-Africa expansion, this does not explain the unusual lack of diversity in African 7R-alleles. The most common L₁L₂-7R(1-2-6-5-2-5-4)-A-C haplotype (Fig. 3) is found at frequencies comparable to those found worldwide (> 85%). It is difficult to imagine what type of

15 bottleneck could produce such results, i.e., strong worldwide LD for a single allele (*DRD4* 7R) yet little LD for the remaining alleles. A model that is consistent with the observed results is the "weak Garden of Eden" (wGOE) hypothesis, where the *DRD4* 4R-allele would be hypothesized to be ancient and present in indigenous populations, while the 7R-allele was spread by the expansion out of (and into) Africa. In such a wGOE hypothesis, positive

20 selection for the *DRD4* 7R-allele must still be proposed.

Although we suggest that a recent mutational origin and positive selection best account for the *DRD4* 7R-allele data, another possibility can not be ruled out. Given the highly unlikely recombination/mutation events required to generate the 7R-allele from the

25 4R-allele, a possibility worth considering is the importation of this allele from a closely related hominid lineage. What lineage that might be can only be speculated, but Neanderthal populations were present at the approximate time the 7R-allele originated. Under this model, the coalescence time for the 4R and 7R-alleles would then be ancient, with the importation occurring only recently, as measured by LD. Obviously, additional experimental work may

30 clarify these speculations.

For the *DRD4* locus, it is unlikely that selection for an adjacent gene can account for the proposed selection, given the distinct and unusual DNA sequence of the *DRD4* 7R-allele itself. If the *DRD4* 7R-allele originated roughly 40,000 years ago, one might ask what was

35 occurring at that time in human history? It is tempting to speculate that the major expansion of humans that occurred at that time, the appearance of radical new technology (the upper Paleolithic) and/or the development of agriculture, could be related to the increase in *DRD4*

1 7R-allele frequency. Perhaps individuals with personality traits such as novelty seeking,
perseverance, etc. drove the expansion (and partial replacement)? The speculation that
migration could account for the current 7R-allele distribution has been proposed. In addition
to such phenotypic selection, sexual selection could be operating as well. As originally
5 defined by Darwin (Darwin, C. *The Descent of Man and Selection in Relation to Sex*. (1874)
New York: Merrill and Baker), "any advantage which certain individuals have over others of
the same sex and species solely in respect of reproduction" will lead to increased offspring.
If individuals with a *DRD4* 7R-allele have personality/cognitive traits that give them an
10 advantage (multiple sexual partners, higher probability for mate selection, etc.) then the
frequency of this allele will expand rapidly, depending on the cultural milieu. Perhaps
cultural differences can account for some of the observed differences in *DRD4* 7R-allele
frequency. Obviously, determining the exact nature of the *DRD4* selection, and its
15 biochemical and behavioral basis, awaits further experimentation. Recent experiments,
indicating that individuals with ADHD and possessing this unusual *DRD4* 7R-allele perform
normally on critical neuropsychological tests of attention in comparison to other ADHD
probands, point to but one of many areas of future investigation.

20 One may ask why an allele that appears to have undergone strong positive selection in
human populations nevertheless is now disproportionately represented in individuals
diagnosed with ADHD? The CVCD hypothesis proposes that common genetic variation is
related to common disease, either because the disease is a product of a new environment (so
that genotypes associated with the disorder were not eliminated in the past) or the disorder
25 has small effect on fitness (because it is late onset). For early onset disorders (such as autism,
ADHD, etc.) we suggest entertaining the possibility that predisposing alleles are in fact under
positive selection, and only result in deleterious effects when combined with other
environmental/genetic factors. In this context, it is possible that prior selective constraints
are no longer operating on this gene. It is also possible to speculate, however, that the very
30 traits that may be selected for in individuals possessing a *DRD4* 7R-allele may predispose
behaviors that are deemed inappropriate in the typical classroom setting, and hence diagnosed
as ADHD.

35 **High Prevalence of Rare Dopamine Receptor D4 (*DRD4*) Alleles in Children Diagnosed with Attention Deficit Hyperactivity Disorder ADHD)**

Associations have been reported of the 7-repeat (7R) allele of the human dopamine
receptor D4 (*DRD4*) gene with both the personality trait of novelty seeking and attention

1 deficit/hyperactivity disorder (ADHD). The increased prevalence of the 7R-allele in ADHD
2 probands is consistent with the common variant-common disorder (CVCD) hypothesis,
3 which proposes that the high frequency of many complex genetic disorders is related to
4 common DNA variants. Based on the unusual DNA sequence organization and strong
5 linkage disequilibrium surrounding the *DRD4* 7R-allele, we proposed above that this allele
6 originated as a rare mutational event, that nevertheless increased to high prevalence in human
7 populations by positive selection (see also, Ding et. al., Proc. Natl. Acad. Sci. USA 99, 309-
8 314, 2002). We have now determined, by DNA resequencing of 250 *DRD4* alleles obtained
9 from 132 ADHD probands, that most ADHD 7R-alleles are of the conserved haplotype found
10 in our previous 600 allele worldwide DNA sample. Interestingly, however, half of the 24
11 haplotypes uncovered in ADHD probands were novel (not one of the 56 haplotypes found in
12 our prior population studies). Over 10 percent of the ADHD probands had these novel
13 haplotypes, most of which were 7R-allele derived. The probability that this high incidence of
14 novel alleles occurred by chance in our ADHD sample is much less than 0.0001. These
15 results suggest that allelic heterogeneity at the *DRD4* locus may also contribute to the
16 observed association with ADHD.

17
18 Attention Deficit Hyperactivity Disorder (ADHD) is a neurobehavioral disorder
19 defined by symptoms of developmentally inappropriate inattention, impulsivity, and
20 hyperactivity with early onset. Current estimates indicate that 3-6% of school age children
21 are diagnosed with ADHD, making it the most prevalent disorder of childhood. While the
22 broad DSM-IV phenotype of ADHD almost certainly has multiple biological etiologies,
23 numerous family, twin and adoption studies have documented a strong genetic basis
24 (Faraone, SV, Biederman, J. Genetics of attention-deficit hyperactivity disorder. Child
25 Adolesc Clin North Am 1994; 3, 285-291). However, given high cross-national variation in
26 the recognition and treatment of ADHD, we proposed that the ADHD Combined type (DSM-
27 IV) without serious comorbidity should be used as a "refined" phenotype in biological and
28 genetic research (Swanson, JM, Sergeant, JA, Taylor, E, Sonuga-Barke, EJS, Jensen, and
29 Cantwell, DP. Attention deficit disorder and hyperkinetic disorder. Lancet 1998; 351, 429-
30 433).

31
32 Despite the high heritability of ADHD, initial genome scan studies have failed to
33 identify genes of major effect, although a region on chromosome 16p13 has been implicated
34 in subsequent studies by the same group. Such negative results are not unexpected for a
35 complex genetic disorder like ADHD, where phenotypic heterogeneity is likely, and the

1 practical but (to date) restricted sample sizes limit statistical power. Candidate gene studies,
on the other hand, require much smaller sample sizes to achieve the same statistical power.
The efficacy of a dopamine agonist drug, methylphenidate, in the treatment of ADHD has
suggested that genes in the dopamine pathway may be involved in the disorder's etiology.
5 This dopamine hypothesis of ADHD suggests a number of candidate genes that could
logically be tested for their association with the disorder. The draft human genome sequence
has provided information sufficient to examine multiple candidate genes in parallel, often
representing most of the proteins in a relevant biochemical pathway.

10 One of these candidate genes, *DRD4*, located near the telomere of chromosome 11p,
is one of the most variable human genes known. Most of this diversity is the result of length
and single nucleotide polymorphism (cSNP) variation in a 48bp tandem repeat (VNTR) in
exon 3, encoding the third intracellular loop of this dopamine receptor. Variant alleles
15 containing two (2R) to eleven (11R) repeats are found, with the resulting proteins having 32
to 176 amino acids at this position.

A number of investigations have found associations between particular alleles of this
highly variable gene and behavioral phenotypes. While some studies have suggested that the
7R-allele of the *DRD4* gene might be associated with the personality trait of novelty seeking
20 (Klugar, AN, Siegfried, Z, and Ebstein, RP. A meta-analysis of the association between
DRD4 polymorphism and novelty seeking. Mol Psychiatry 2002; 7, 712-717), the most
reproduced association is between the 7R-allele and attention deficit/hyperactivity disorder
(ADHD). Above, we showed by DNA resequencing/haplotyping of 600 *DRD4* alleles,
25 representing a worldwide population sample, that the origin of 2R- through 6R-alleles can be
explained by simple one-step recombination/mutation events. In contrast, the 7R-allele is not
simply related to the other common alleles, differing by greater than 6
recombinations/mutations. Strong linkage disequilibrium (LD) was found between the 7R-
30 allele and surrounding *DRD4* polymorphisms, suggesting this allele is at least 5-10 fold
"younger" than the common 4R-allele. Based on an observed bias towards nonsynonymous
amino acid changes, the unusual DNA sequence organization, and the strong LD surrounding
the *DRD4* 7R-allele, we proposed that this allele originated as a rare mutational event, that
nevertheless increased to high frequency in human populations by positive selection.

35 Why is the *DRD4* 7R allele, which arose recently and underwent strong positive
selection, nevertheless now disproportionately represented in individuals diagnosed with
ADHD? We suggested that selection for an adjacent polymorphism was unlikely, given the

1 distinct and unusual DNA sequence organization of the *DRD4* 7R allele itself. The *DRD4* 7R
allele is at moderate prevalence in most populations that have been examined for ADHD
(approximately 10-15%). Therefore, the approximate two-fold increase in *DRD4* 7R allele
5 frequency in ADHD probands ($\lambda = 1.9$), calculated from a recent meta-analysis is consistent
with the Common Variant-Common Disorder (CVCD) hypothesis (also called the Common
Disease-Common Variant hypothesis) (Reich, DE, Lander, ES. On the allelic spectrum of
human disease. Trends in Genetics 2001; 17, 502-510). In the CVCD hypothesis, the high
10 prevalence of a given disorder (and its associated alleles) is attributed to either 1) the
interaction with a new environment (such that genotypes associated with the disorder were
not eliminated in the past) or 2) the disorder has small effect on fitness (because it is late
onset). We suggest a third possibility. Perhaps predisposing alleles in fact are under positive
15 selection, and only result in deleterious effects when combined with other
environmental/genetic factors. This would explain the high prevalence of common disorders
in the population, since the selected allele would only be deleterious in a small fraction of
those individuals carrying it. Positive selection for particular human alleles may, in fact, be
common (Harpending, H and Rogers, A. Genetic perspectives on human origins and
20 differentiation. Ann Rev Genomics Hum Genet 2000; 1, 361-385; Tishkoff, SA, Varkonyi, R,
Cahinhinan, N, Abbes, S, Argyropoulos, G, Destro-Bisol, G, et al. Haplotype diversity and
linkage disequilibrium at human G6PD: recent origin of alleles that confer malarial
resistance. Science 2001; 293, 455-462), contributing to the observation of unexpectedly
large blocks of LD in the human genome (Reich, DE, Cargill, M, Bolk, S, Ireland, J, Sabeti,
25 PC, Richter, DJ, et al. Linkage disequilibrium in the human genome. Nature 2001; 411, 199-
204; Daly, MJ, Rioux, JD, Schaffner, SF, Hudson, TJ, and Lander, ES. High-resolution
haplotype structure in the human genome. Nature Genetics 2001; 29, 229-232; Patil, N,
Berno, AJ, Hinds, DA, Barrett, WA, Doshi, JM, Hacker, CR, et al. Blocks of limited
30 haplotype diversity revealed by high-resolution scanning of human chromosome 21. Science
2001; 294, 1719-1723; Sabeti, PC, Reich, DE, Higgins, JM, Levine, HZP, Richter, DJ,
Schaffner, SF, et al. Detecting recent positive selection in the human genome from haplotype
structure. Nature 2002; 419, 832-837).

35 It is a reasonable hypothesis that high prevalence human genetic disorders will be
related to some common variants in the population. However, it is unclear that single
common variants will be the only relevant variants. Alleles at low prevalence, most of which
have not been identified by current SNP searches targeting a small sample size (The

1 International SNP Map Working Group. A map of human genome sequence variation
containing 1.42 million single nucleotide polymorphisms. Nature 2002; 409, 928-933), could
also contribute to complex disease (Pritchard, JK. Are rare variants responsible for
susceptibility to complex diseases? Am J Hum Genet 2001; 69, 124-137). Of the hundreds
5 of "single hit" disease genes identified to date, the vast majority contain hundreds of
"private" mutations that alter protein function. In order to test this Rare Variant-Common
Disorder (RVCD) model for complex disease, much greater depth of DNA resequencing
must be conducted, ideally in individuals enriched for the putative mutant alleles (i. e.,
10 probands).

All previous studies of the *DRD4*/ADHD association have defined alleles based only
on PCR length differences. Hence, it is possible that specific sequence variants are actually
associated with the disorder. For example, one could imagine that the selected *DRD4* 7R
15 allele might have a higher mutation rate than the common 4R allele, and it is in fact these
variant 7R alleles that predispose to ADHD. Given the large sequence diversity of this gene,
in which 56 different exon 3 haplotypes were uncovered in 600 chromosomes obtained from
a worldwide sample, we decided that direct DNA resequencing of DNA obtained from
ADHD probands was the only method that could answer this question.

20 Here, we confirm the increased prevalence of *DRD4* 7R alleles in individuals
diagnosed with the refined phenotype of ADHD (La Hoste, GJ, Swanson, JM, Wigal, SB,
Glabe, C, Wigal, T, King, N and Kennedy, JL. Dopamine D4 receptor gene polymorphism is
associated with attention deficit hyperactivity disorder. Mol Psychiatry 1996; 1, 21-24). By
25 DNA resequencing of 250 *DRD4* alleles obtained from 132 ADHD probands, we show that
most ADHD associated 7R-alleles are of the conserved haplotype found in our previous 600
allele worldwide DNA sample. Interestingly, however, over 10 percent of the ADHD
probands had novel *DRD4* haplotypes, not previously found in our worldwide allele sample.
30 The probability that this high prevalence of novel alleles occurred by chance in our ADHD
sample is much less than 0.0001. Most of these novel haplotypes were 7R-allele derived.
These results suggest that allelic heterogeneity (the RVCD model) may also be contributing
to the association of the *DRD4* locus with ADHD, as is routinely found for "single-gene"
genetic disorders.

35 Materials and Methods

Clinical. ADHD probands were recruited to participate in either clinical trials or the
Multimodality Treatment Study of Children with ADHD (MTA; MTA Cooperative Group. A

1 14-month randomized clinical trial of treatment strategies for attention deficit/hyperactivity
disorder. Arch Gen Psychiatry 1999; 56, 1073-1086) at the University of California, Irvine.
The refined phenotype of ADHD was diagnosed by a research assessment battery described
in detail elsewhere (Hinshaw, SP, March, JS, Abikoff, H, Arnold, LE, Cantwell, DP,
5 Connors, CK, et al. Comprehensive assessment of childhood attention-deficit hyperactivity
disorder in the context of a multisite, multimodel clinical trial. J Attention Disorders 1997; 1,
217-234), that includes psychiatric interviews and questionnaires about the symptoms of the
disorder and other psychopathological behavior related to comorbid disorders. Instruments
10 used included the Diagnostic Interview Schedule for Children, Fourth Version (DISC-IV),
the SNAP-IV Rating Scale and a locally developed family and developmental history
questionnaire. In addition, measures of ability and achievement were obtained using the
Wechsler Intelligence Scale for Children, Third Revision (WISC-III) and the Wechsler
15 Individual Achievement Test (WIAT). The inclusion criteria included a DSM-IV diagnosis
of ADHD-Combined Type, which requires the endorsement of at least six of the nine
symptoms of inattention and six of the nine symptoms of hyperactivity/impulsivity. High
cutoffs on parent and teacher ratings of ADHD items on the SNAP rating were required.
Subjects with an IQ score on the WISC-III < 80 were excluded. Information was also
20 obtained for oppositional defiant disorder (ODD), but a comorbid diagnosis of ODD did not
exclude the subject. A diagnosis of other comorbid disorders (such as Tourette Syndrome), or
treatment of symptoms of other disorders with non-stimulant psychotropic drugs, were
exclusion criteria for this study.

25 **Establishing Cell Lines and DNA Purification.** Lymphoblastoid cell lines were
established for all ADHD probands. Methods for transformation, cell culture, and DNA
purification have been described above (see also, Chang, F-M, Kidd, JR, Livak, KJ, Pakstis,
AJ, and Kidd, KK. The world-wide distribution of allele frequencies at the human dopamine
30 D4 receptor locus. Hum Genetics 1996; 98, 91-101).

PCR amplification and DNA sequencing. The *DRD4* exon 3 VNTR was amplified
with primer sets described previously (5'-CGTACTGTGCGGCCTCAACGA-3' and 5'-
GACACAGCGCCTGCGTGATGT-3'; 705 nucleotide product for the 4R-allele). PCR
reactions were conducted in 25 microliter volumes, containing 100ng genomic DNA, 200
35 micromolar dXTPs, 0.5 micromole of each primer, 1X PCR buffer (Qiagen), 1X Q-solution
(Qiagen) and 0.625 units *Taq* DNA polymerase (Qiagen). Amplification was performed
using Perkin-Elmer 9700 thermal cyclers. A 20 second, 96-degrees C hot start was used,

1 followed by 40 cycles of 95 degrees C for 20 seconds and 68 degrees C for 1 minute.
Following a 4-minute chase at 72-degrees C, excess primers were eliminated with 0.5 units of
Shrimp Alkaline Phosphatase (SAP, Amersham Life Science), 0.1 unit of Exonuclease I (Exo
I, Amersham Life Science) and 1X SAP buffer (Amersham Life Science). The SAP/Exo I
5 reaction was carried out at 37 degrees C for 1 hour, followed by a 15-minute heat inactivation
at 72-degrees C. The DNA from the SAP/Exo I reaction was used directly for DNA
sequencing. For individuals heterozygous for *DRD4* alleles, the two allelic PCR products
were first separated on 1.2-% agarose gels. DNA cycle sequencing was conducted by
10 standard techniques, using ABI 3100 and 3700 automated sequencers. Overall
PCR/resequencing success was greater than 95%. One allele from an ADHD proband, 9R(1-
8-25-5-2-5-2-23-4), was included in our prior worldwide sample. DNA sequences of the
novel *DRD4* haplotypes reported herein have been submitted to GenBank (Accession
15 numbers AY151027-AY151038).

Analysis of sequence data: Analysis of sequence data was accomplished using
PHRED, PHRAP, POLYPHRED and CONSED (Ewing, B, Hiller, L, Wendl, MC, and
Green, P. Base-calling of automated sequencer traces using phred. I. Accuracy assessment.
Genome Res 1998; 8, 175-185; Ewing, B and Green, P. Base-calling of automated sequencer
20 traces using phred II. Error probabilities. Genome Res 1998; 8, 186-194; Nickerson, DA,
Tobe, VO, and Taylor,SL. Polyphred: automating the detection and genotyping of single
nucleotide substitutions using fluorescence-based resequencing. Nucleic Acids Res 1997; 14,
2745-2751; Nickerson, DA, Taylor, SL, Weiss, KM, Clark, AG, Hutchinson, RG, Stengard,
25 J, et al. DNA sequence diversity in a 9.7-kb region of the human lipoprotein lipase gene.
Nature Genetics 1998; 19, 233-240). These programs are used to clean and assemble the
sequence files, and aid in the detection of DNA polymorphism. For every position in the
DRD4 consensus sequence, POLYPHRED examines each sample sequence for evidence of
30 polymorphism/heterozygosity. The rank limit for identifying a position as polymorphic is
under user control. Based on our experience, we have configured POLYPHRED to identify
all potential polymorphisms of rank 1-4, which are then independently evaluated by two
skilled investigators.

Capture of individual genotypes/haplotypes into a database (SNPMAN). The
35 collection of SNPs into a relational database is done via an in-house software package we
have designated SNPMAN. SNPMAN is a package of 3 main programs written originally in
PERL and SQL and now available in both binaries and open source format. The first

1 program (SNPMAN) is designed to collect the SNP information from POLYPHRED output
files and transform it into acceptable SQL command files, later to be executed by a database
operator (DBO). The second program (MANIP) is the CONSED-addon extension that allows
5 an experienced chromatogram reader to adjust or delete database information in case of false
positive or false negative polymorphisms. The last program (GIMMEPRETTYBASE) in the
SNPMAN package converts existing polymorphism tables into acceptable input files for
visual genotyping via VG.

Statistical Analysis. Allele distributions were compared using Fischer's Exact test
10 for a 2xk table, as implemented in SAS (v.6.12, running on a SUN Ultra2 Enterprise
workstation). In our prior worldwide sample (above), all *DRD4* repeat lengths except for 4R
were oversampled by a factor of two. This was corrected for before comparisons were
conducted with the present sample.

15 Results

DNA was isolated from 132 probands diagnosed with the refined phenotype of
ADHD, sequentially identified as part of ongoing research and clinical trials programs at the
UCI Child Development Center (see Methods). Table 2 gives the demographics, ADHD
20 symptoms and psychometric test scores of these probands. As expected, the majority (80%)
of individuals were of European ancestry and male. On the SNAP, average rating per item
summary scores of inattention and hyperactivity/impulsivity above 2.0 are considered severe.
The average SNAP for this group of probands was 2.22 (Table 2). Ratings were also
obtained for oppositional defiant disorder (ODD), often found to be comorbid with ADHD.
25 The observed average for ODD (1.62) was significantly higher than for population norms.
Other psychometric measures of IQ (WISC) and achievement (WIAT) were in the normal
range for the group (Table 2).

30 **Table 2.** Demographics, ADHD symptoms, and psychometric test scores of the ADHD
probands.

	Females (26)	Males (106)	Total (132)	SD
<i>Demographics</i>				
Age	8.62	8.83	8.78	1.88
% European			79.7	
% Hispanic			11.4	
% African American			3.6	
% Asian			2.8	
% Native American			2	
% Pacific Island			0.4	
<i>ADHD symptoms</i>				
Inattention average	2.53	2.3	2.41	0.52
Hyperactivity/impulsivity	2.07	1.96	2.01	0.74
ADHD average	2.29	2.15	2.22	0.51
ODD average	1.68	1.57	1.62	0.81
<i>Psychometric tasks</i>				
WISC block design	101.9	113.3	107.7	33.9
WISC vocabulary	96.9	105.4	101.2	30.4
IQ average	99.4	109.4	104.4	25.7
WIAT reading	96.5	100.5	98.5	14.6
WIAT math	100.6	101.4	101.9	13.8
WIAT spelling	96.6	97.8	97.2	13.8
Achievement average	97.8	99.9	98.9	12.5

The exon 3 VNTR region of the *DRD4* gene was amplified from these DNAs, and the distribution of *DRD4* genotypes obtained in this sample is shown in Table 3. As reported in numerous other studies, including our own, the frequency of ADHD individuals with at least one *DRD4* 7R allele is approximately two-fold greater (43.2%) than found in ethnically matched control individuals. Interestingly, the observed frequency of 2R and 3R alleles was also increased in this ADHD sample (Table 3). In European populations the observed allele frequency for *DRD4* is 2R=0.07, 3R=0.03, 4R= 0.73, 5R=0.01, 6R=0.02, 7R=0.12, 8R<0.01, 9R<0.001 (2N=1652; ref. 20 and 22 and unpublished data). Calculating an expected genotype distribution (assuming Hardy-Weinberg equilibrium, Table 3) indicates that only 22% of Europeans should have a 7R/x genotype, consistent with prior experimental control data from our research. Adjusting these values for the increased frequency of 7R alleles in some non-European populations can not account for the increased frequency in our predominantly European ancestry ADHD sample (Table 2).

Table 3. Genotypes of 132 ADHD Probands.

Genotype	2R/4R	3R/3R	3R/4R	4R/4R	4R/6R	2R/7R	3R/7R	4R/7R	6R/7R	7R/7R	4R/8R	4R/9R
Observed	20(19)	1	9(8)	43(41)	2(1)	5	3	42	1	4	1	1
Expected	14	<1	6	70	4	2	1	23	<1	2	1	<1

DNA sequence analysis of 250 *DRD4* alleles obtained from these ADHD probands found 24 different haplotypes (Table 4). No data were obtained on 14 alleles (5.3%; two 2R, seven 4R and five 7R alleles) due to PCR and/or sequencing failures. Altogether, we screened over 200,000 bp of genomic DNA and 1,132 48-bp repeats. Interestingly, only half (12/24) of the observed haplotypes (Table 4) were identified previously in our analysis of 600 *DRD4* alleles obtained from a worldwide population sample (see GenBank accession nos. AF395210-AF395264). For example, using our proposed nomenclature for *DRD4* haplotypes (Figure 2), the majority of 7R alleles found in our ADHD probands (45/55 = 81.8%) are the common 7R(1-2-6-5-2-5-4) haplotype (Table 4). In this nomenclature, the numbers in brackets refer to different 48bp repetitive sequence motifs (Figure 2). Likewise, the majority of 2R and 4R alleles were the common 2R(1-4) and 4R(1-2-3-4) haplotypes, respectively. These three common alleles (2R, 4R, and 7R) account for 87.2% of the observed alleles (Table 4), similar to the proportion obtained in our 600 allele population sample. The remaining 9 alleles are rare 3R, 4R, 6R, and 7R variants observed previously (Table 4).

Table 4. Haplotypes of 250 *DRD4* exon3 alleles from 132 ADHD probands.

<i>Allele</i>	<i>N</i>	<i>Haplotype</i>	<i>Allele</i>	<i>N</i>	<i>Haplotype</i>
2R	23	1-4	7R	55	
3R	14			45	1-2-6-5-2-5-4
	8	1-7-4		2	1-2-6-5-2-5-19
	3	1-9-4		2	1-2-6-1-2-3-4
	2	1-2-20		1	1-2-6-5-2-23-4
	1	1-6-4		1	1-2-6-5-8-5-4
4R	156			1	1-2-14-3-2-5-4
	150	1-2-3-4		1	1-2-3-17-2-5-4
	2	1-2-14-4		1	1-8-25-5-2-5-4
	2	1-2-3-4		1	1-2-6-5-2-3-4
	1	1-2-6-4	8R	1	1-2-6-26-5-2-3-4
	1	1-26-3-4	9R	1	1-8-25-3-2-5-2-23-4
6R	3				
	1	1-2-3-2-3-4			
	1	1-2-6-5-2-20			
	1	1-2-6-2-3-4			

N: allele number identified by sequence analysis; haplotype nomenclature is described in Figure 1. Alleles in normal font were identified previously in a survey of 600 worldwide alleles.²² Alleles in bold are unique to this study.

The other half of the observed haplotypes were unique, not identified in our extensive prior analysis (Table 4). Excluding the common variants, expected to be present in all samples, sixty percent (12/20) of rare (<0.01 frequency) variants found in this ADHD sample were unique. Fifteen ADHD probands had one of these 12 unique *DRD4* haplotypes (15/132

1 = 11.4%). For seven of these probands, parental DNA was available. PCR resequencing indicated that the variant allele was present in one of the parents, and not a new mutation. All but one of these 12 novel alleles produce an altered amino acid sequence in the resulting DRD4 protein compared to the common allele (Figure 4). For example, the observed 4R(1-2-6-4) variant would substitute a Gly for a Ser and a Pro for a Gln in comparison to the common 4R(1-2-3-4) variant (Table 4). This result is similar to our prior population studies on the *DRD4* gene, where 87% of the observed rare variants altered the amino acid sequence of the resulting protein.

10 The origin of most of these newly observed variants can be inferred to be 7R allele derivatives, based on their nucleotide sequence (Figures 4 and 5). The 5 and 6 variant motifs (Figure 2) are diagnostic for the 7R allele, found only in this allele and its derivatives. Ten of the 12 haplotype variants contain these motifs (Table 4), and hence likely arose as recombination/mutation events involving a 7R allele (Figure 4). For example, the 4R(1-2-5-4) allele likely arose as a recombination event between a 4R(1-2-3-4) allele and a 7R(1-2-6-5-2-5-4) allele. Genotyping six of these variant alleles for flanking SNPs diagnostic for the 4R and 7R alleles confirmed their hypothesized origin (data not shown; Figure 4). The finding that the majority of these rare variants are derived from 7R alleles should be contrasted with our prior population studies of the *DRD4* gene, in which rare variants were found to be equally derived from 4R and 7R alleles. There is an approximate two-fold increase in rare 7R alleles in this ADHD sample in comparison to our prior population sample (18.2% versus 11.0%; Table 4).

25 Including these 7R-related sequence variants in the 7R allele category removes 5 individuals from the non-7R category, originally classified based on their PCR fragment length (numbers in brackets in Table 3). Altogether, individuals with 7R and derivative 7R alleles account for 47% of the ADHD proband population (Table 3).

30 Twenty percent of the ADHD *DRD4* alleles sequenced in this study are of non-European origin (Table 2). However, 33% (5/15) of the individuals with novel rare alleles were non-European in genetic origin. While this difference is not statistically significant, it is possible that population stratification could account for a portion of the observed difference. Our prior worldwide sequence sample included 220 European *DRD4* alleles, as well as 164 Asian, 122 African, 76 North and South American, and 18 Pacific Island ancestry alleles. Non-4R alleles were oversampled approximately two-fold in this prior study. Given the ethnic breakdown of our ADHD probands (Table 2), then, our prior worldwide resequencing

1 sample can serve as an extensively "oversampled" control, in which we have comparable numbers of European origin alleles, and 10-20 fold larger numbers of non-European alleles.

5 Sixty-seven different haplotype variants of *DRD4* were seen in either our prior population sample, our ADHD sample (Table 4), or both. Sixty of these haplotypes are at low (<0.01) frequency. We can therefore ask a simple question: How likely is it, assuming a pool of uncommon *DRD4* alleles, that these two samples (population control and ADHD) would give the observed results? Most of the rare alleles were found only once, hence we can only estimate their frequency in the population. Our initial sample size of 600
10 chromosomes, however, is expected to detect eighty percent of variants at a frequency of 0.002 or greater. Based on *DRD4* allele frequency distributions (Table 4 and above), where the six common 2R-7R alleles account for $>90\%$ of the observed alleles, we can estimate that there can be, at most, 85 different *DRD4* alleles at frequencies greater than 0.001. At a
15 minimum, therefore, we have identified 79% (67/85) of *DRD4* alleles with a frequency greater than 0.001. Alleles less frequent than 0.001 would be found rarely in population samples of the current size, and hence can not contribute significantly to the observed distributions.

20 One can consider the possibility, then, that among a pool of uncommon alleles, there were 12 undetected alleles (on 15 chromosomes) that happened by chance to occur among the 250 chromosomes obtained from ADHD individuals. Likewise, one can consider the possibility that these 12 alleles were not found among 600 random chromosomes. We considered a range of allele frequencies for these 12 alleles, from 1/400 each to 1/1000 each.
25 For each set of allele frequencies, the probability of seeing none of these 12 new alleles among the 600 chromosomes examined previously can be easily calculated as a multinomial probability (Probability "A"). Likewise, the probability of seeing 9 of these new alleles once, and 3 twice, among 250 chromosomes can be calculated (Probability "B"). For all sets of
30 allele frequencies, either probability "A" or probability "B" is much less than 0.0001. It is extremely unlikely that the distribution of alleles in these two samples has occurred by chance.

35 We also considered the possibility that this difference is related not to the diagnosis of ADHD, but rather to population stratification. Indeed, one of the reasons we sequenced such a large worldwide sample was to address this issue. We constructed a series of comparison groups from our worldwide population sample. Each comparison group contained the 220 alleles from samples of European origin. Added to this was a random selection from the

1 remaining non-European samples to approximate the ethnic distribution of the ADHD sample
(Table 1). In all cases the allele distribution differed significantly between the ADHD sample
and the comparison group ($p < 0.0001$). It is extremely unlikely, therefore, that population
5 stratification and undetected ethnic bias can account for the distribution differences in our
population and ADHD samples. We conclude, then, that the most likely reason for the
observed differences was our ascertainment of this sample by diagnosis of ADHD, and that
variants present at low frequency in the general population were "enriched" in the ADHD
sample.

10 Discussion

The increased frequency of the *DRD4* 7R allele in ADHD probands is consistent with
the predictions of the CVCD hypothesis (Figure 5). By DNA resequencing from probands
diagnosed with the refined phenotype of ADHD, we determined that the majority (83%) of
15 7R alleles in these individuals were of the common 7R(1-2-6-5-2-5-4) haplotype found
previously (Table 3). However, we uncovered an unusually high prevalence (50%) of novel
haplotypes in the 24 haplotypes observed in our sample, most 7R allele derivatives (Table 4).
Greater than 10 % of ADHD probands had one of these rare alleles. Including these rare
derivatives (determined by sequence analysis) in the "7R" class increased the number of
20 ADHD individuals with 7R alleles from 43.2% to 47% (Tables 3 and 4). It is impossible to
know without further biochemical/physiological/behavioral experimentation if these
derivatives are functionally equivalent/related to 7R alleles (see below). It is likely, however,
that all previous studies of the *DRD4*/ADHD association modestly underestimated the
25 relative risk by only examining repeat length rather than DNA sequence.

What can account for the high frequency of novel alleles uncovered in the present
study? If recombination/mutation were random, one would expect that the majority of
derivative alleles would have 4R origins, since this is the most common allele, even in
30 ADHD probands. The *DRD4* 4R allele is also older than the 7R allele, and hence there has
been greater time to accumulate mutations in this allele (unless they have been selected
against). In our prior population study, approximately equal numbers of 4R and 7R
derivative alleles were uncovered, suggesting a mutation/recombination bias toward 7R
alleles (or a stronger selection against 4R variants). In comparison to our prior population
35 survey, however, over 90% of the rare derivative alleles in this ADHD sample have 7R
origins (Figure 4).

1 We estimate that there are less than 85 *DRD4* alleles with population frequency
greater than 0.001, and we have identified a minimum of 79% of these alleles. While there
could be hundreds of extremely rare *DRD4* alleles (at a population frequency of 0.0001), such
5 alleles could only contribute a few examples to our original population sample. Therefore,
given the sample sizes used in this and our prior population study, it is expected that, at most,
2-3 alleles might be found only in one sample and not the other. It is extremely unlikely
($p < 0.0001$), therefore, that finding 12 new alleles (on 15 chromosomes) in the ADHD
10 population was due to chance or population stratification. We propose, then, that our
ascertainment of the sample by diagnosis of ADHD was the reason for this observed increase
in derivative *DRD4* 7R alleles.

Further studies, including more extensive population sampling, can refine the number
and frequency distribution of rare *DRD4* alleles. In particular, it would be informative to
15 know if rare *DRD4* alleles exhibit biased geographic/ethnic ancestry distributions. Such
information would be essential for the design and interpretation of replicate studies of the
current work. In addition, family based analyses can help determine if rare alleles are
preferentially transmitted to ADHD probands. However, for behavioral disorders such as
ADHD, such studies should be interpreted with caution. It is common in such disorders to be
20 unable to consent key members of a trio (mostly fathers). An inability to ascertain a truly
“random” sample of parental genotypes (for example, if there is preferential absence of a
parent transmitting a putative predisposing gene) could contribute to biases in tests such as
the TdT (West, A, Langley, K, Hamshire, ML, Kent, L, Craddock, N, et al. Evidence to
25 suggest biased phenotypes in children with attention deficit hyperactivity disorder from
completely ascertained trios. *Mol Psychiatry* 2002; 7, 962-966).

The high frequency of amino acid changing variants in these rare haplotypes (>90%),
and the low probability that we uncovered these variants by chance ($p < 0.0001$) suggest that
30 allelic heterogeneity is also playing a role in the association of the *DRD4* gene and ADHD
(RVCD Model, Figure 5). The finding of allelic heterogeneity for the *DRD4*/ADHD
association should not be surprising, since “private” mutations are found frequently for the
majority of “single-hit” genetic diseases, even ones where a particular variant is common.
For example, while the common $\Delta F508$ mutation is found in 70% of cystic fibrosis probands,
35 hundreds of rarer mutations have also been identified (Serre, JL, Simon-Bouy, B, Mornet, E,
Jaume-Roig, B, Balassopoulou, A, Schwarz, M, et al. Studies of RFLP closely linked to the
cystic fibrosis locus throughout Europe lead to new considerations in population genetics.

1 Hum Genet 1990; 84, 449-454). There is no strong experimental or theoretical reason why
genes associated with complex genetic disorders involving multiple genes should utilize a
different mutational spectrum than genes for single-hit disorders. We suggest, then, that both
5 CVCD association and allelic heterogeneity (RVCD) contribute to the association of the
DRD4 gene and ADHD (Figure 5). The observation of increased allelic heterogeneity adds
further support to the hypothesis that the *DRD4* gene itself, rather than an adjacent variant in
strong LD with *DRD4*, is responsible for the association.

While data exist indicating that *DRD4* protein variants containing different VNTR
10 lengths exhibit different biochemical properties (Asghari, V, Sanyal, S, Buchwaldt, S,
Paterson, A, Jovanovic, V, and VanTol, HHM. Modulation of intercellular cyclic AMP
levels by different human dopamine D4 receptor variants. J Neurochem 1995; 65, 1157-
1165; Jovanovic, V, Guan, H-C, and VanTol, HHM. Comparative pharmacological and
15 functional analysis of the human dopamine D4.2 and D4.10 receptor variants.
Pharmacogenetics 1999; 9, 561-568), little is known of the effect of sequence (amino acid)
differences in this region of the protein. The functional importance of changes at this position
in the *DRD4* protein, however, in a region that couples to G proteins and mediates
postsynaptic effects (Civelli, O, Bunzow, JR, Grandy, DK. Molecular diversity of the
20 dopamine receptors. Annu Rev Pharmacol Toxicol 1993; 32, 281-307), seems likely. For
example, many of the observed changes are quite dramatic [i.e., substituting a Pro for a Gln
in 4R(1-2-6-4); Figure 4], and might be expected to alter the *DRD4* protein
structure/function. Clearly, further biochemical studies would be helpful. Such studies
25 should be interpreted with caution, however. Observed biochemical differences do not
necessarily imply differences at the behavioral level. Many genetic/biochemical systems
exhibit great buffering capacity, and biochemical variation often has little physiological effect
(Hartman, JL, Garvik, B, and Hartwell, L. Principles for the buffering of genetic variation.
30 Science 2001; 291, 1001-1004). Likewise, not finding biochemical differences between
DRD4 variant proteins does not imply that functional differences do not exist at a behavioral
level. It is often unclear which biochemical parameter is relevant to test, especially for
proteins like *DRD4*, where most of the interacting proteins are as yet unknown. Further,
35 subtle biochemical changes, difficult to detect in vitro and in vivo, can have large effects at
the organismal level. The decade long search for the relevant biochemical basis of
Huntington Disease, following the identification of the mutation, is but one recent example.
For these reasons, we suggest that genetic approaches will remain more powerful than

1 biochemical approaches at detecting associations with behavioral disorders. We therefore
suggest that in addition to further biochemical analysis of *DRD4* variants, direct
genotype/phenotype correlations continue to be pursued, including brain imaging and model
5 organism experiments (Dulawa, SC, Grandy, DK, Low, MJ, Paulas, MP, and Geyer, MA.
Dopamine D4 receptor-knock-out mice exhibit reduced exploration of novel stimuli. J
Neurosci 1999; 19, 9550-9556). It is the physiological/behavioral outcome of genetic
variation that is most relevant. The finding that individuals with ADHD who possess a
DRD4 7R allele perform normally on critical neuropsychological tests of attention in
10 comparison to other ADHD probands points to but one of many areas of future investigation.

Based on the current work and the hypothesized origin of human *DRD4* diversity, we
suggest that future studies might group individuals based on *DRD4* genotype differently than
in the past. Only VNTR length was considered, usually split into 7R(+) and 7R(-) categories.
15 The *DRD4* locus appears to behave like a "two-allele" system (4R and 7R) under balanced
selection. The common 4R allele appears to be the ancestral allele, with the 7R allele being a
much younger allele. All rare variants appear to be recombination/mutation products of these
common 4R and 7R alleles (Figure 4 and above). For example, the 2R allele likely has both a
4R and 7R origin. Hence, simple 7R(+) and 7R(-) categories may not be appropriate
20 divisions, and one should entertain other potential groupings. In particular, one might
hypothesize that any amino acid alteration from the conserved ancestral 4R(1-2-3-4)
haplotype might lead to altered biochemistry/phenotype. Tests of this hypothesis would
group individuals as 4R/4R versus non-4R/4R for purposes of hypothesis testing.

25 What does the *DRD4*/ADHD association mean? We have speculated that the very
traits that may be selected for in individuals with a *DRD4* 7R allele may predispose behaviors
that are deemed inappropriate in the typical classroom setting and hence diagnosed as
ADHD. This environmental mismatch hypothesis (Jensen, PS, Mrazek, D, Knapp, PK,
30 Steinberg, L, Pfeffer, C, Schowalter, J, and Shapiro, T. Evolution and revolution in child
psychiatry: ADHD as a disorder of adaptation. J Am Acad Child Adolesc Psychiatry 1997;
36, 1672-1679) has testable predictions, including the potential benefit of altered educational
approaches. In this hypothesis, the *DRD4* 7R subset of individuals diagnosed with ADHD
are assumed to have a different, evolutionarily successful behavioral strategy rather than a
35 disorder. Alternatively, we also speculated that *DRD4* 7R, while selected for in human
populations, could have deleterious effects only when combined with other genetic variants.
This complex genetic model for ADHD also has testable predictions. One of the many

1 important questions stemming from this hypothesis is the number and nature of these
interacting genes. Is *DRD4* 7R one of only a few (or a few hundred) predisposing alleles?

5 The *DRD4* 7R/ADHD association is one of the most reproduced in complex
behavioral disorders. However, the approximately two-fold risk associated with the *DRD4*
7R allele and ADHD has been described as "small". The implication is that *DRD4* 7R is but
one of many predisposing alleles (a classic QTL; Lynch, M and Walsh, B. Genetic analysis
of Quantitative traits (Sinauer Associates, Inc. Sunderland, MA) 1998), and indeed may be
only a "modifier" of yet undiscovered predisposing genes. Certainly, this is a possibility.
10 However, while a two-fold risk may be considered small in some contexts, this risk needs to
be put in the perspective of observed *DRD4* allele frequencies and the predictions of the
CVCD hypothesis (Figure 5).

15 In the populations of predominantly European ancestry used in most investigations of
the *DRD4*/ADHD association, the allele frequency of *DRD4* 7R is approximately 12-15%.
Therefore, even if the presence of a *DRD4* 7R allele was a necessary predisposing condition
for ADHD (i.e., 100% of ADHD probands had at least one copy of this allele), and assuming
Hardy-Weinberg equilibrium, the increase in observed frequency (and relative risk) would be
only 3.6 fold (Figure 5). If only half of ADHD is "caused" by *DRD4* 7R, then the increase in
20 observed frequency would be 1.8 fold. Common alleles associated with a particular disorder,
then, can only exhibit modest increases in allele frequency in affected individuals, and hence
have modest relative risks (i.e., small λ). Most current genome scans of complex genetic
disorders, including one for ADHD, would not have detected genomic regions with $\lambda < 2-3$.

25 Are λ values less than 2-3 of little significance? Do they imply that the associated
allele has little impact on the disorder? On the contrary, they are exactly of the magnitude
one expects if the CVCD hypothesis is correct. Likewise, the RVCD model also predicts
modest relative risks, if one sums the contributions of all variants in a single gene (Figure 5).
30 It is informative to propose a simple model for ADHD based on the CVCD hypothesis and
the *DRD4* 7R association (Figure 7). Unlike rare disorders like Huntington Disease, where
the disease allele is rare and the allelic relative risk is large ($>5,000$ fold, Figure 7), what if
alleles predisposing to ADHD are common in the population? Figure 7 outlines one such
model, in which three different dominant alleles (designated *DRD4* 7R, b, c in three different
35 genes) interact to predispose to the disorder. In this model, each of these alleles is at
polymorphic frequency (0.05-0.12), and it is assumed that any two of them in combination
predispose to ADHD. In such hypothetical interacting gene systems, any of the three

1 “disease” alleles (*DRD4* 7R, b, or c) could also be described as “modifier” alleles, since their
presence or absence effect the “penetrance” of the other alleles. Such interacting genetic
systems should be common, since most gene products are part of multiprotein assemblies or
5 biochemical pathways. Obviously, many other models could be proposed, involving
recessive alleles, additional genes, etc. For example each predisposing “allele” could be
many rare alleles (the RVCD model, Figure 5), that in total have a frequency of 0.05.
However, the model proposed in Figure 7 is one of the simplest in which interacting alleles
are neither necessary nor sufficient. In this example, approximately 5% of individuals would
10 have one of the hypothesized predisposing genotypes [(*DRD4* 7R/x)(b/x), (*DRD4* 7R/x)(c/x),
(b/x)(c/x)], approximately the observed incidence of ADHD (Figure 7). None of the
predisposing alleles would be either necessary or sufficient to “cause” ADHD. None of the
hypothetical predisposing alleles would have a high λ (2-4 fold relative risk, Figure 7), and
15 none would likely be detected with genome scans of typical size. Yet according to this
model, these are the predisposing alleles that are the object of our search. Similar
conclusions could be reached for a variety of other likely models.

What can be concluded from such models? The observed two-fold increase in *DRD4*
20 7R allele frequency in ADHD probands is approximately 54 % of the maximum possible (if
all ADHD is genetic and related to *DRD4* 7R). As discussed above, this estimate modestly
underestimates the relative risk, since rare 7R derivatives, as uncovered in this study, would
not have been identified in prior work. The observed risk is approximately 87% of the
maximum possible if 50% of ADHD has a nongenetic cause. If one assumes that ADHD
25 predisposition is related to many different genes/alleles, such values for a single allele are, in
fact, unusually high. We conclude, therefore, that the observed *DRD4* 7R-allele/ADHD
association is not “small”, but is of a magnitude quite surprisingly high. It suggests that this
allele is associated with a minimum of 25%-50% of the observed cases of ADHD. It further
30 suggests that as few as one or two other common alleles in other genes, in combination with
DRD4 7R (Figure 7), could account for most of the disorder.

The Genetic Architecture of Selection at the Human Dopamine Receptor D4 (*DRD4*) Gene Locus

35 Associations have been reported of the 7-repeat (7R) allele of the human dopamine
receptor D4 (*DRD4*) gene with both the personality trait of novelty seeking and attention
deficit/hyperactivity disorder. Above, based on the unusual DNA sequence organization of
the *DRD4* 7R VNTR, we proposed that the 7R allele originated as a rare mutational event

1 that increased to high frequency by positive selection (see also, Ding et. al., Proc. Natl. Acad.
Sci. USA 99, 309-314, 2002). We have now resequenced the entire DRD4 locus from 103
individuals homozygous for 2R, 4R or 7R variants of the VNTR, a method developed to
5 directly estimate haplotype diversity. DNA from individuals of African, European, Asian,
North and South American and Pacific Island ancestry were used. 4R/4R homozygotes
exhibit little linkage disequilibrium (LD) over the region examined, with more
polymorphisms observed in African DNA samples. In contrast, the evidence for strong LD
10 surrounding the 7R allele is dramatic, with all 7R/7R individuals (including those from
Africa) exhibiting the same polymorphisms at most sites. By intra-allelic comparison at 18
high frequency polymorphic sites spanning the locus, we estimate that the 7R allele arose at
the time of the "out of Africa" human exodus (approximately 42,500 years ago). Further, the
pattern of recombination at these polymorphic sites is that expected for selection acting at the
15 7R VNTR itself, rather than at an adjacent site. We propose a model for selection at the
DRD4 locus consistent with these observed LD patterns and the known biochemical and
physiological differences between receptor variants.

The human dopamine receptor D4 (DRD4) gene, located near the telomere of
chromosome 11p, exhibits an unusual amount of expressed polymorphism (Lichter, J.B.,
20 Barr, C.L., Kennedy, J.L., Van Tol, H.H.M., Kidd, K.K. and Livak, K.J. (1993) Human
Molecular Genetics 2, 767-773; Ding, Y.C., Chi, H.C., Grady, D.L., Morishima, A., Kidd,
J.R., Kidd, K.K., Flodman, P., Spence, M.A., Schuck, S., Swanson, J.M., et al. (2002) Proc.
Natl. Acad. Sci. USA 99, 309-314; Grady, D.L., Chi, H.C., Ding, Y.C., Smith, M., Wang, E.,
25 Schuck, S., Flodman, P., Spence, M.A., Swanson, J.M., and Moyzis, R.K. Mol Psychiatry 8,
536-545). Much of this variation is the result of length and single nucleotide polymorphism
(SNP) changes in a 48bp tandem repeat (VNTR) in exon 3, encoding the third intracellular
loop of this D2-like receptor. Alleles containing two (2R) to eleven (11R) repeats are found,
30 with over 67 different haplotype variants uncovered to date. The three most common 2R, 4R,
and 7R variants, however, represent over ninety percent of the observed allelic diversity. In
most geographical locations, the 4R allele is the most common, while 2R and 7R allele
frequency varies widely (Chang, F.-M., Kidd, J.R., Livak, K.J., Pakstis, A.J., and Kidd, K.K.
(1996) Hum. Genet. 98, 91-101).

35 The functional significance of these length/sequence changes in the DRD4 protein, in
a region that couples to G proteins and mediates intercellular cAMP levels, has been
documented (Jovanovic, V., Guan, H.C., and Van Tol, H.H.M. (1999) Pharmacogenetics 9,

1 561-568; Oak, J.N., Oldenhof, J., and Van Tol, H.H.M. (2000) *European J Pharmacology*
404, 303-327). In particular, the 7R variant exhibits a blunted ability to reduce cAMP levels
in comparison to the common 4R variant. The DRD4 protein is expressed in a number of
5 brain regions, with high level expression in the prefrontal cortex, thought to be involved in
cognition, attention and other higher brain functions. Significantly, DRD4 knockout mice
display better performance on complex motor tasks, are supersensitive to cocaine, ethanol
and methamphetamine, and exhibit reduced exploration of novel stimuli (Rubinstein, M.,
Phillips, T.J., Bunzow, J.R., Falzone, T.L., Dziewczapolski, G., Zhang, G., et al. (1997) *Cell*
10 90, 991-1001; Dulawa, S.C., Grandy, D.K., Low, M.J., Paulas, M.P., and Geyer, M.A. (1999)
J Neurosci 19, 9550-9556). Taken together, these results are consistent with the proposal that
DRD4 receptors act as inhibitors of neuronal firing, especially in the prefrontal cortex.

Based on these biochemical and physiological observations, a number of
15 investigations have looked for associations between particular alleles of this highly variable
gene and behavioral phenotypes (Swanson, J., Deutsch, C., Cantwell, D., Posner, M.,
Kennedy, J., Barr, C., Moyzis, R., Schuck, S., Flodman, P., and Spence, M.A. (2001) *Clinical*
Neuroscience Research 1, 207-216; Faraone, S.V., Doyle, A.E., Mick, E., and Biederman, J.
(2001) *Am J Psychiatry* 158, 1052-1057; Klugar, A.N., Siegfried, Z., and Ebstein, R.P.
20 (2002) *Mol Psychiatry* 7, 712-717). While some studies have suggested that the DRD4 7R
allele might be associated with the personality trait of novelty seeking, the most reproduced
association is between the 7R allele and attention deficit/hyperactivity disorder (ADHD).
ADHD is the most prevalent disorder of childhood (approximately 5% incidence), defined by
25 symptoms of developmentally inappropriate inattention, impulsivity, and hyperactivity. The
approximately two fold greater prevalence of the DRD4 7R allele in ADHD probands ($I=1.9$),
calculated from a recent metaanalysis, indicates that this allele is associated with a significant
fraction (25%-50%) of the attributable genetic risk for the disorder.

30 We have shown above by DNA resequencing/haplotyping of 600 DRD4 VNTRs,
representing a worldwide population sample, that the origin of most haplotype variants could
be explained by simple one-step recombination/mutation events. In contrast, the 7R allele is
not simply related to the other common alleles, differing by greater than 6
recombinations/mutations. This unusual sequence architecture of the 7R VNTR, suggesting it
35 arose as a rare mutational event, led to exploratory measures of linkage disequilibrium (LD)
between the 4R and 7R alleles. Large discrepancies between allele ages estimated from low
intra-allelic variability and high population frequency are taken as evidence that selection has

1 increased the frequency of an allele beyond that expected by chance (Slatkin, M. and
Rannala, B. (2000) *Ann. Rev. Genomics Hum. Genet.* 1, 225-249; Tishkoff, S.A., Varkonyi,
R., Cahinhinan, N., Abbes, S., Argyropoulos, G., Destro-Bisol, G., et al. (2001) *Science* 293,
455-462; Sabeti, P.C., Reich, D.E., Higgins, J.M., Levine, H.Z.P., Richter, D.J., Schaffner,
5 S.F., et al., (2002) *Nature*, 419, 832-837). Strong LD was found between the 7R-allele and
four surrounding DRD4 polymorphisms, suggesting this allele is significantly "younger" than
the common 4R-allele. Our preliminary estimates placed the origin of the DRD4 7R allele at
approximately 40,000 years ago, a time of major human expansion out of Africa and the
10 appearance of radical new technology (the upper Paleolithic) (Harpending, H. and Rogers, A.
(2000) *Annu. Rev. Genomics Hum. Genet.* 1, 361-385; Ingman, M., Kaessmann, H., Paabo,
S., and Gyllensten, U. (2000) *Nature* 408, 708-713; Underhill, P.A., Shen, P., Lin, A.A., Jin,
L., Passarino, G., Yang, W.H., Kauffman, E., Bonne-Tamir, B., Bertranpetit, J., Francalacci,
15 P., et al. (2000) *Nature Genetics* 26, 358-361). We speculate that these events and the
appearance and selection for the DRD4 7R allele may be related.

If the DRD4 7R allele arose recently and underwent strong positive selection, why is
it now disproportionately represented in individuals diagnosed with ADHD? One possibility
is that an adjacent polymorphism in strong LD with the 7R VNTR is actually 1) associated
20 with ADHD, or 2) the target of selection. We have argued that selection for an adjacent site
was unlikely, given the distinct and unusual DNA sequence organization of the DRD4 7R
allele itself, but due to the high density of SNPs in the human genome it remained a
possibility. Obviously, even if the DRD4 VNTR is the site of selection, strong LD in the
25 region could have carried an adjacent ADHD predisposing polymorphism along with it. Such
"hitch-hiking" events should be common, again given the high density of SNPs in human
DNA (The International SNP Map Working Group. (2001) *Nature* 409, 928-933).

Alternatively, however, the biochemical and physiological properties of the DRD4
30 protein discussed above suggest a more direct relationship. We have proposed that the
7R/ADHD association is an example consistent with the Common Variant-Common Disorder
hypothesis (Risch, N. and Merikangas, K. (1996) *Science* 273, 1516-1517), in which
common predisposing alleles result in deleterious effects only when combined with other
environmental/genetic factors. We have speculated that the very traits that may be selected
35 for in individuals with a DRD4 7R allele may predispose behaviors that are deemed
inappropriate in the typical classroom setting and hence diagnosed as ADHD. In this
environmental mismatch hypothesis (Jensen, P.S., Mrazek, D., Knapp, P.K., Steinberg, L.,

1 Pfeffer, C., Schowalter, J., et al. (1997) *J Am Acad Child Adolesc Psychiatry* 36, 1672-1679),
the DRD4 7R subset of individuals diagnosed with ADHD is assumed to have a different,
evolutionarily successful behavioral strategy rather than a disorder. It is also possible,
5 however, that DRD4 7R, while selected for in human populations, could have deleterious
effects only when combined with other genetic variants.

In order to clarify some of these issues, we report an extensive analysis of
polymorphisms surrounding the DRD4 VNTR by genomic resequencing. Remarkably, we
show that the 7R allele exhibits strong worldwide LD, in geographic locations as diverse as
10 sub-Sahara Africa and South American rainforests. By intra-allelic comparison at 18 high
frequency polymorphic sites spanning the locus, we confirm that the 7R allele arose only
42,500 years ago. Further, the pattern of recombination at these sites is that expected for
selection acting at the VNTR itself, rather than at an adjacent polymorphism.

15 **Materials and Methods**

Establishing Cell Lines and DNA Purification. Lymphoblastoid cell lines were
established for all individuals. Methods for transformation, cell culture, and DNA purification
have been described (above; see also, Ding, Y.C., Chi, H.C., Grady, D.L., Morishima, A.,
Kidd, J.R., Kidd, K.K., Flodman, P., Spence, M.A., Schuck, S., Swanson, J.M., et al. (2002)
20 *Proc. Natl. Acad. Sci. USA* 99, 309-314; Grady, D.L., Chi, H.C., Ding, Y.C., Smith, M.,
Wang, E., Schuck, S., Flodman, P., Spence, M.A., Swanson, J.M., and Moyzis, R.K. *Mol*
Psychiatry 8, 536-545; Chang, F.-M., Kidd, J.R., Livak, K.J., Pakstis, A.J., and Kidd, K.K.
(1996) *Hum. Genet.* 98, 91-101). All individuals gave their informed consent before their
25 inclusion in this study, which was carried out under protocols approved by the Human
Subjects Committees at the participating institutions. The geographical/ethnic origins of the
103 individuals used in this study, grouped by genotype, are:

30 **4R/4R**, 20 African (11 Biaka, 3 Chaga, 3 Mboti, 2 Hausa, 1 African American), 24 European
(11 unspecified European, 5 Irish, 3 English, 3 German, 1 Greek, 1 Italian), 7 Asian (5 Han
Chinese, 2 Japanese);

7R/7R, 6 African (2 Biaka, 2 Hausa, 1 Chaga, 1 African American), 16 European (6
unspecified European, 3 European/Hispanic, 2 Irish, 1 Italian, 1 Druze, 1 Danish, 1 English, 1
German), 19 Americas (6 Karitiana, 5 Ticuna, 4 Maya, 4 Surui), 2 Pacific (Nasioi);

35 **2R/2R**, 3 European (2 unspecified European, 1 Russian), 6 Asian (5 Han Chinese, 1 Yakut).

Twenty (19%) of these individuals were ADHD Probands (3) (15 European, 4 Asian,
1 African), including one 2R/2R, fourteen 4R/4R and five 7R/7R genotypes. Primate DNA

1 was obtained from 5 chimpanzee (*Pan troglodytes*), 5 bonobo (*Pan paniscus*), and 5 western
lowland gorilla (*Gorilla gorilla gorilla*) individuals.

5 **PCR amplification and DNA sequencing.** The entire DRD4 allelic region was PCR
amplified as three overlapping fragments (totaling 6.3kb), which cover positions 140173 to
146480 in GenBank accession number AC 021663. The current Human Genome Project
(HGP) assembly contains a 9kb unordered fragment containing the DRD4 locus (from BAC
RP11-496I9) but the terminal DRD4 upstream region of this contig contains 1.9kb of Alu
DNA. Forward and reverse primers for these amplifications were 140173^{F1} (5'-
10 GTGGTCGCAGACATCTTGG-3'), 142075^{R1} (5'-TAGACGAAGAGCGGCAGCA-3'),
142057^{F2} (5'-TGCTGCCGCTCTTCGTCTA-3'), 145072^{R2} (5'-
ATGCTGCTGCTCTACTGGG-3'), 144901^{F3} (5'-CCTGCTGTGCTGGACGCCCT-3'), and
146480^{R3} (5'-TAGTCGGAGAAGGTGTCCTG-3'). PCR amplification and excess primer
15 and dNTP removal was as described above (see also, Ding, Y.C., Chi, H.C., Grady, D.L.,
Morishima, A., Kidd, J.R., Kidd, K.K., Flodman, P., Spence, M.A., Schuck, S., Swanson,
J.M., et al. (2002) *Proc. Natl. Acad. Sci. USA* 99, 309-314; Grady, D.L., Chi, H.C., Ding,
Y.C., Smith, M., Wang, E., Schuck, S., Flodman, P., Spence, M.A., Swanson, J.M., and
Moyzis, R.K. *Mol Psychiatry* 8, 536-545). Additional primer sequences for forward and
20 reverse sequencing of the DRD4 amplification products are available on our web site
(www.genome.uci.edu). DNA cycle sequencing on ABI 3100 and 3700 automated
sequencers was as described above (see also, Ding, Y.C., Chi, H.C., Grady, D.L., Morishima,
A., Kidd, J.R., Kidd, K.K., Flodman, P., Spence, M.A., Schuck, S., Swanson, J.M., et al.
25 (2002) *Proc. Natl. Acad. Sci. USA* 99, 309-314; Grady, D.L., Chi, H.C., Ding, Y.C., Smith,
M., Wang, E., Schuck, S., Flodman, P., Spence, M.A., Swanson, J.M., and Moyzis, R.K. *Mol*
Psychiatry 8, 536-545; Riethman, H.C., Xiang, Z., Paul, S., Morse, E., Hu, X.-L., Flint, J.,
Chi, H.-C., Grady, D.L., and Moyzis, R.K. (2001) *Nature* 409, 948-951).

30 **Analysis of sequence data:** Analysis of sequence data was aided by Phred, Phrap,
Polyphred and Consed (Nickerson, D.A., Tobe, V.O., and Tayler, S.L. (1997) *Nucleic Acids*
Res 14, 2745-2751).

35 **Capture of individual genotypes/haplotypes into a database (SNPMAN).** The
collection and editing of SNPs into a relational database is done via an in-house software
package we have designated SNPMAN (Grady, D.L., Chi, H.C., Ding, Y.C., Smith, M.,
Wang, E., Schuck, S., Flodman, P., Spence, M.A., Swanson, J.M., and Moyzis, R.K. *Mol*
Psychiatry 8, 536-545). Visual displays of SNP data were performed using VG (visual

genotyping) (Nickerson, D.A., Taylor, S.L., Weiss, K.M., Clark, A.G., Hutchinson, R.G., Steingard, J., et al. (1998) *Nature Genet* 19, 233-240). Information on all SNPs identified in this study is available on our web site (www.genome.uci.edu).

Protein modeling. DRD4 protein variants were modeled using the crystallographic structure of rhodopsin as a template (Filipek, S., Teller, D.C., Palczewski, K., and Stenkamp, R. (2003) *Ann Rev Biophysics Biomol Structure* 32, 375-397).

Allele age calculations. Allele age calculations were conducted by standard methods. Briefly:

$$t = [1/\ln(1-c)] \ln [(x(t)-y)/(1-y)],$$
 where t = allele age, c = recombination rate, $x(t)$ = frequency in generation t , and y = frequency on normal chromosomes. We assumed the origin of the 7R-allele was on a specific 4R haplotype, and calculations utilized the extreme values of c determined from the telomeric recombination frequencies (including 11p) obtained by Kong et al (Kong, A., Gudbjartsson, D.F., Sainz, J., Jonsdottir, G.M., Gudjonsson, S.A., Richardsson, B., Sigurdardottir, S., Barnard, J., Hallbeck, B., Masson, G., et al. (2002) *Nature Genet* 31, 241-247) (2cM/Mb-4cM/Mb). For example, the T/C polymorphism at position 140,692 in the *DRD4* consensus sequence is 3889 bp upstream of the VNTR, and hence c values ranging from 0.0000778 to 0.0001556 were used (from the average recombination rate per Mb times the VNTR-SNP distance). In all cases, the frequency on normal chromosomes (y) was assumed to be that observed on chromosomes obtained from African 4R/4R individuals. Similar results were obtained using y obtained from the entire 4R/4R population sample. The frequency of the derived allele $x(t)$ was that observed in the total population of 7R/7R individuals. For example, the T/C polymorphism at position 140,692 has $y = 5.3\%$ (the percent of the C variant in African 4R/4R individuals) and $x(t) = 84.9\%$ (the percent of the C variant in all 7R/7R individuals). For conversion from time t in generations to years, a generation time of 20 years was assumed.

Linkage Disequilibrium. Analysis and display of LD was conducted using the GOLD program (Abecasis, G.R., and Cookson, W.O. (2000) *Bioinformatics* 16, 182-183).

Results

The unusual nature of the sequence architecture of the *DRD4* 7R VNTR, suggesting it arose as a recent rare mutational event, led us to determine if differences in LD exist between the 4R and 7R alleles. We resequenced 6,307bp of contiguous DNA surrounding the *DRD4* VNTR from 103 individuals (1.5 Mb total), chosen from previous screenings as homozygous for the VNTR (4R/4R, 7R/7R, 2R/2R; Figure 7). *DRD4* loci from 51 4R/4R individuals, 43

1 7R/7R individuals and 9 2R/2R individuals were resequenced. 7R/7R and 2R/2R individuals
were highly oversampled in comparison to their frequency in the population. This approach
was developed as a direct and efficient method to estimate the haplotype diversity
surrounding the putative ancestral 4R allele in comparison to the recent 7R allele. The
5 resulting sequence data was processed by SNPMAN and polymorphisms displayed using VG.

Figure 7 displays the polymorphism distribution of individuals grouped by genotype
(4R/4R, 7R/7R, and 2R/2R) and geographic origin (African, European, etc.). Individuals
were intentionally chosen from diverse populations. For example, the African samples
10 represent 13 Biaka, 4 Chaga, 4 Hausa, 3 Mboti and 2 African American individuals (see
Methods). Due to the wide variation in 7R allele distribution, our sample includes an
abundance of 7R/7R individuals of North and South American ancestry and none from Asia,
where the 7R allele frequency is only 0.01 (Figure 7). Our 4R/4R sample intentionally
15 included a large fraction (39%) of individuals of African ancestry (Figure 7), in order to
estimate the "ancestral" frequency of polymorphisms (see below).

Not including VNTR variants, a total of 70 SNPs/polymorphisms were detected (on
average, one per 90 bp), many at low frequency (Figure 7). As expected, most of these low
abundance SNPs were not in current databases. As can be seen in Figure 7, the polymorphism
20 spectral distribution of the 4R/4R homozygotes exhibits little LD over the region examined.
In addition, twenty-eight percent (20/70) of the observed SNPs were found only in African
samples (Figure 7). These results are consistent with many studies on other genomic regions,
and likely reflect the "fingerprint" of an out of Africa expansion of modern humans and a
genetic bottleneck in European and Asian populations. Figure 8 shows a graphical display of
25 LD for the same 4R/4R data, using the GOLD program. GOLD displays all pairwise LD
values as a color gradient aligned with the linear DNA sequence. As can be seen in Figure 8,
there is little LD above the 0.6 value expected at these close (<6kb) distances.

30 In contrast, the evidence for strong LD surrounding the 7R allele is dramatic, with
most 7R/7R individuals exhibiting the same polymorphisms at most sites (Figures 7 and 8).
All 7R alleles, including those from African populations, exhibit the same strong LD. By
resequencing this same genomic region in 15 primate genomes (Chimpanzee, Bonobo, and
western lowland Gorilla), the likely ancestral SNP could be determined unambiguously for
35 most SNP pairs. Seventy-six percent (13/17) of the most common variants (Table 5) were
inferred to be ancestral in origin, with one SNP (144,842) having both variants in primate
DNAs. Four of the most common variants in the population were "human specific" (Table 5).

Forty-one percent (7/17) of the observed polymorphisms in tight LD with the 7R VNTR were the rarer human specific SNPs (Figure 7 and Table 5).

Table 5. Calculated allele age for *DRD4* 7R. Eighteen polymorphisms in the *DRD4* sequence are arranged in upstream to downstream order, and distance to the exon 3 VNTR is indicated. The most frequent polymorphism is listed first, in all cases the "ancestral" variant determined from primate *DRD4* resequencing, except for the four noted with an asterisk in which the less common variant is ancestral. The frequency of the common polymorphism in African 4R/4R individuals and all 7R/7R individuals is given. All values were obtained from the data displayed in Figure 7, except for polymorphisms 140,438, 144,842 and 144,862 which were obtained from a much larger sample set (over 2,000 individuals). Asterisks indicate "human specific" SNPs tightly linked to the 7R allele. Allele age was calculated from the extreme values of telomeric recombination reported in Kong et al. (Age1=4cM/Mb and Age2=2cM/Mb) using standard methods. The average value obtained from all polymorphisms is 42,500 years (average Age1 and Age2), with maximum likely limits of 20,000-65,000 years.

Polymorphism	Distance	4R/4R	7R/7R	Age1	Age2
140,438 L/S(120bp)*	4143(-)	61.9%	90.8%*	33,361	66,715
140,582 G/del	3999(-)	95.0%	13.9%*	19,175	39,557
140,692 T/C	3889(-)	94.7%	15.1%*	22,269	44,653
140,892 T/C	3689(-)	70.0%	95.4%	22,558	45,119
141,507 C/T	3074(-)	73.7%	97.7%	14,884	29,771
142,426 G/A	2155(-)	90.0%	97.7%	28,961	57,922
143,578 A/del	1003(-)	78.4%	98.80%	28,493	56,989
143,766 C/A*	815(-)	77.5%	4.6%	37,539	75,078
143,862 G/del	719(-)	95.0%	2.3%*	17,037	34,075
VNTR	0				
144,842 G/A	261	88.7%	1.6%	34,865	69,731
144,862 G/C	281	87.9%	1.6%*	32,686	65,373
145,239 del/G*	658	43.8%	2.3%	31,637	63,221
145,295 T/C	714	79.0%	2.3%*	20,690	41,381
145,353 del/G	772	41.7%	2.3%*	27,615	55,181
145,684 A/C*	1103	69.4%	3.5%	23,457	46,915
146,041 T/C	1460	42.1%	3.8%	26,699	53,397
146,056 T/C	1475	57.9%	96.3%	26,989	53,966
146,293 C/A	1712	44.7%	4.6%	28,187	56,367
		Average		26,505	53,078
				SD=6,112	SD=12,139

Only a single new high abundance SNP was found in the 7R alleles examined, located in the downstream region of the gene (146,033; asterisk in Figure 7). The majority of

1 individuals containing this SNP were of North or South American ancestry (Karitiana,
Ticuna, Maya, and Surui), suggesting a possible New World origin. This SNP was not found
in our African population samples, and was at low frequency in our European populations,
which included some individuals with partial Hispanic (and likely North/South American)
5 ancestry (Figure 7).

One exception to the strong LD found at the DRD4 7R locus is in a small 288 bp
region at the promoter (-809 to -521 in Figure 7), where 8 tightly spaced SNPs are found at
comparable frequencies in both 4R and 7R alleles. Five of these SNPs are clustered in a
10 region of only 95 bp. It is difficult to understand this specific breakdown of LD at the
promoter unless numerous gene conversion events/mutations/selections have occurred
(Ardlie, K., Liu-Cordero, S.N., Eberle, M.A., Daly, M., Barrett, J., Winchester, E., Lander,
E.S., and Kruglyak, L. (2001) *Am J Hum Genet* 69, 582-589). Similar high frequency
15 variations are found in this region in the limited primate samples examined, including more
extensive deletions in chimp and gorilla (data not shown). These highly variable SNPs
(140,989-141,277) are not included in Table 5, their ancestral origin (above) cannot be
determined, and they cannot be used in allele age determinations (below). Regardless of the
mechanism of homogenization at this small DRD4 promoter region, the strong LD observed
20 at the 7R allele continues upstream of this region, with 4 high frequency
SNPs/polymorphisms in tight linkage with the VNTR (Figure 7 and Table 5). Genotyping of
other VNTRs associated with three DRD4 adjacent loci (PTDSS2, HRAS, and SCT)
indicates that the region of strong LD surrounding the DRD4 7R allele extends for at least 50-
25 100kb (data not shown).

Interestingly, from the resequencing of a sample of 2R/2R homozygotes (Figure 7),
the 2R allele appears to be a recombination product between a 4R and a 7R allele, as we
originally proposed. The 2R VNTR downstream region contains a polymorphism pattern
30 identical to that found in 7R alleles, while the VNTR upstream region is more variable,
suggesting more than a single origin for this proposed recombination (Figure 7). Most of the
examined 2R alleles, however, contain a unique SNP (142,115; asterisk in Figure 7) in the
first intron, found only in a single 4R individual of African ancestry, suggesting a common
origin and expansion for these 2R alleles.

35 Calculations of allele age based on the relatively high worldwide population
frequency of the DRD4 2R, 4R and 7R alleles suggest that these alleles are ancient
(>300,000-500,000 years old). On the other hand, calculations of allele age based on the

1 observed intra-allelic variability (Table 5) suggest the 7R allele is 10 fold "younger" (42,500
years). Such large discrepancies between allele ages calculated by these two methods are
usually taken as evidence that strong selection has increased the frequency of the allele to
5 higher levels than expected by random genetic drift. The absolute values of these estimates
are greatly affected by the assumptions used in their computations, for example the assumed
recombination frequency. For the calculations in Table 5, we have used the extremes of
estimates of recombination frequency observed for the telomeric regions of human
chromosomes (including 11p). All 18 high frequency *DRD4* SNPs used to estimate allele age
10 yield comparable results (Table 5). This suggests that the average of these values (42,500
years) is a reasonable current estimate of the allele age for *DRD4* 7R, comparable to our prior
estimate of 40,000 years based on only four adjacent SNPs (2). Using the extremes of
assumed recombination frequency (Age1 and Age2), plus or minus the standard deviation,
15 yields an estimate of the limits of allele age from 20,000-65,000 years (Table 5). The
proposed origin of the 2R allele as a 7R allele derivative (Figure 7) indicates that it must also
be a young allele. The discrepancy between the observed high frequency of the 2R allele,
especially in Asian populations, and it's likely recent origin (Figure 7) suggests that it too has
likely increased in frequency by positive selection.

20 The data in Figure 7 and Table 5 can also be used to test if the *DRD4* VNTR itself,
rather than an adjacent SNP, is the target of selection. Ideally, one should observe an increase
in recombination (and lower LD) as distance from the selected polymorphism is increased.
Figure 9 plots distance from the *DRD4* 7R VNTR versus percent recombination. As expected
25 if the *DRD4* 7R VNTR is the target of selection, the observed recombination is lowest near
the VNTR, and increases with distance in both directions. Groupings based on splitting the
population sampled based on any of the other 18 SNPs (for example splitting the sample
based on the G/A 142,426 SNP rather than the 4R/7R VNTR) yielded largely random
30 recombination patterns for adjacent SNPs (data not shown). While the observed
recombination fraction is quite low, and there is significant scatter in the data (Figure 9) these
results support the hypothesis that the *DRD4* 7R VNTR is the target of selection.

Discussion

35 In this study, we have expanded our LD analysis of the *DRD4* locus by resequencing
the entire locus in 2R, 4R, and 7R homozygous individuals. This method was chosen as an
accurate and efficient approach to determine the comparative LD of two alleles, requiring
little statistical manipulation to infer haplotype differences. Using this approach (Figures 7

1 and 8), the pattern of LD surrounding the *DRD4* 4R allele is that expected for an ancient gene locus (300,000-500,000 years old), in which haplotype diversity is greatest in African populations, and more restricted outside Africa.

5 In contrast, the evidence for strong LD surrounding the 7R allele is dramatic (Figures 7 and 8). Such worldwide LD for a single selected human allele is remarkable. For example, in one of the best-characterized examples of selection in humans, the frequencies of low-activity alleles of glucose-6-phosphate dehydrogenase are highly correlated with the prevalence of malaria, yet many regional variants have been selected for. There is no
10 worldwide "malaria resistant" variant, presumably because the introduction of agriculture 10,000 years ago (and the *Plasmodium* parasite) selected for independent regional mutations. By intra-allelic comparison at 18 high frequency polymorphic sites, we can estimate that the *DRD4* 7R allele arose approximately 42,500 years ago (with maximum likely limits of
15 20,000-65,000 years ago; Table 5). Further, the finding that forty-one percent of the 7R adjacent SNPs in tight LD are "human specific" (Table 5) argues for the derivation of this variant by mutation from the common human 4R allele, rather than importation from a related hominid lineage. Population bottlenecks and local admixture cannot explain the observed results. We propose, therefore, that the worldwide LD found for the *DRD4* 7R allele
20 is a reflection of strong selection for this allele at the time of the major out of Africa exodus.

We suggested it is unlikely that selection for an adjacent gene can account for the proposed selection, given the distinct and unusual DNA sequence of the *DRD4* 7R VNTR itself. We have now shown that recombination frequency with adjacent SNPs is likely
25 centered on the VNTR in 7R alleles (Figure 9), suggesting that it is indeed the target of selection. Strong LD with the *DRD4* 7R allele can be detected at least 50-100kb from the VNTR (near the *PTDSS2*, *HRAS* and *SCT* loci, data not shown). However, since the current HGP assembly in this subtelomeric region contains many gaps and ambiguous contig orders,
30 it is impossible at present to refine these LD studies. Further work to define the limits of LD for this locus will help clarify both the estimates of allele age and the evidence for VNTR selection.

The breakdown of this strong LD at a small (288bp) region at the promoter of the 7R allele is surprising (Figure 7), and suggests that frequent gene conversion
35 events/mutations/selections have occurred at this region. One can only speculate as to what mechanisms might be involved. It is especially intriguing, however, that this homogenization occurs at the promoter. Given that the CpG frequency at this site is not significantly higher

1 than the remainder of this GC-rich gene, we suggest that high frequency gene conversion
might explain this homogenization. Similar high frequency variations are found in primates,
thus this region is a hotspot for such changes. Small hotspots for gene conversion have been
proposed to exist at various loci in the human genome. The overall strong LD associated with
5 the 7R allele continues upstream of this anomalous region (Figure 7). Such data suggest using
caution in inferring LD surrounding a particular genomic region based on a limited number of
markers.

Extensive biochemical analyses of DRD4 protein variants have been conducted (5-7).
10 The 7R protein has a blunted response for cAMP reduction, requiring a three-fold increase in
dopamine concentration for reductions comparable to the 4R protein. This "suboptimal"
response of the 7R allele to dopamine was hypothesized to underlie its association with the
personality trait of novelty seeking and ADHD. It was suggested that the inhibitory neurons
15 utilizing the DRD4 7R receptor would require increased dopamine for "normal" function
(Swanson, J.M., Oosterlaan, J., Murias, M., Schuck, S., Flodman, P., Spence, M.A., Wasdell,
M., Ding, Y.C., Chi, H.C., Smith, M., et al. (2000) Proc. Natl. Acad. Sci. USA 97, 4754-
4759). Such increased dopamine levels were hypothesized to be provided by risk taking
behavior (in the case of novelty seeking) or methylphenidate (in the case of ADHD).
20 Methylphenidate is thought to act by binding to the dopamine transporter and raising the
levels of dopamine at the synapse.

We propose a simple model integrating the known biochemical, physiological and
genetic data regarding the common *DRD4* alleles (Figure 10). The 4R allele appears to be the
25 dominant allele throughout most of human prehistory. This ancestral allele has the fewest
amino acid changing variants, implying strong purifying selection. The 7R allele arose as a
rare mutation approximately 42,500 years ago that significantly blunted the receptor's
response to dopamine. This blunted response led to behaviors that were selected for in certain
environments, and the two alleles (4R and 7R) coexisted in a balanced selection system, their
30 relative frequencies varying by both chance and the environmental/cultural conditions. For
example, it has been suggested that resourcdepleted, time-critical, or rapidly changing
environments might select for individuals with "response ready" adaptations, while resource-
rich, time-optimal, or little changing environments might select against such adaptations. We
35 have speculated that such a "response ready" adaptation might have played a role in the out
of Africa exodus, and that allele frequencies of genes associated with such behavior would
certainly be influenced by the local cultural milieu (above; see also, Harpending, H. and

1 Cochran, G. (2002) Proc. Natl. Acad. Sci. USA 99). Consistent with this “response ready”
behavior hypothesis is the significantly better performance of DRD4 knockout mice on tests
of complex coordination, and the observed faster reaction times exhibited by ADHD
5 individuals with a 7R allele in comparison to non-7R individuals (Langley, K., Marshall, L.,
van den Bree, M., Thomas, H., Dphil, O., O'Donovan, M., and Thapar, A. (2003) Amer J
Psychiatry, in press).

The genetic data suggest that most 2R alleles are 7R derivatives, and likely had
limited (yet multiple) origins (Figure 10). Interestingly, the 2R variant also has a blunted
10 cAMP response, but one midway between the 4R allele and 7R allele (Figure 10). Perhaps
individuals with 2R alleles exhibit behaviors “intermediate” between those manifested by 4R
and 7R alleles? This “non-linear” response (i.e., cAMP reduction capability is not linearly
related to DRD4 VNTR repeat length) is consistent with the genetic evidence, and suggests a
15 typical biochemical “optimum” strategy (Figure 10). In this model, the 4R variant has been
honed for hundreds of thousands of years to function optimally, while the new 7R and 2R
variants are suboptimal yet confer a behavioral advantage in some environments. We propose
that all three alleles are maintained in the population by balanced selection, their relative
frequencies dependent on both chance and local selective pressures.

20 Such frequency dependent adaptive strategies are common, and are predicted by
evolutionary game theory (Smith, J.M. Evolution and the Theory of Games. (1982)
Cambridge: Cambridge University Press). A now classic example is the “rock-paper-
scissors” color morphs in the side-blotched lizard (Sinervo, B. and Lively, C.M. (1996)
25 Nature 380, 240-243). In this species, color is controlled by a single locus (OBY) that serves
as a genetic marker for three different male behavioral strategies. Orange males usurp
territory, blue males are mate guards, and yellow males are sneakers. Sneakers beat
aggressive usurpers, mate-guards beat sneakers, and usurpers beat mateguards. Male
competition drives cycles analogous to a rock-paper-scissors game, with all three strategies
30 successfully reproducing (at varying frequencies) in the population.

While this speculative model (Figure 10) is based on available genetic, biochemical,
and physiological data, obviously only further work can test, refine and modify these ideas.
The evidence for selection acting at the DRD4 locus is strong, however (Figures 7 and 9), and
35 challenges us to determine the specific mechanism driving it. Regardless of the ultimate
details, is it reasonable to think that a single gene variation can modify human behavior and
be shaped by cultural diversity? We argue that just such single gene changes regulating

1 complex social behavior have been identified in other organisms (Krieger, M.J.B. and Ross,
K.G. (2002) Science 295, 328-332). We see no reason to think humans should be exempt
from similar Darwinian selection (Darwin, C. The Descent of Man and Selection in Relation
to Sex. (1871) London: J. Murry.), and suggest the exciting possibility that the *DRD4* locus is
5 a prime candidate for such gene-culture interactions.

Diagnostic test for ADHD using *DRD4* probes.

The invention provides a method for testing patients for ADHD using probes derived
from the *DRD4* 7R allele, or markers from within an area of strong linkage disequilibrium
10 with the *DRD4* 7R allele. The invention provides a DNA oligomer comprising a DNA
sequence complementary to DNA encoding the *DRD4* 7R allele, or markers from within an
area of strong linkage disequilibrium with the *DRD4* 7R allele. Under appropriate
hybridization conditions, such probes may be used to screen samples from individuals for the
15 presence of the *DRD4* 7R allele, or a marker from within an area of strong linkage
disequilibrium with the *DRD4* 7R allele. It should be readily apparent to those skilled in the
art that a sequence complementary to the anti-sense strand of the *DRD4* 7R allele is also
provided by the subject invention.

The DNA oligomer can be labeled with a detectable marker, such as a radiolabeled
20 molecule, a fluorescent molecule, an enzyme, a ligand, or biotin. The labeled oligomer can
then be utilized to detect the presence of the *DRD4* 7R allele, or a marker from within an
area of strong linkage disequilibrium with the *DRD4* 7R allele, so as to diagnose ADHD.
This method comprises:

- 25 a) obtaining a tissue sample from the subject;
b) treating the sample so as to expose DNA present in the sample;
c) contacting the exposed DNA with the labeled DNA oligomer under conditions
permitting hybridization of the DNA oligomer to any DNA complementary to the DNA
oligomer present in the sample, the DNA complementary to the DNA oligomer containing
30 the *DRD4* 7R allele or other marker within the region of strong linkage disequilibrium;
d) removing unhybridized, labeled DNA oligomer; and
e) detecting the presence of any hybrid of the labeled DNA oligomer and DNA
complementary to the DNA oligomer present in the sample, thereby detecting the allele or
35 other marker and diagnosing ADHD.

Alternatively, DNA isolated from samples taken from individuals can be amplified by
PCR using primers directed to the *DRD4* gene or other markers within the area of strong

1 linkage disequilibrium, and sequenced to determine the presence of specific *DRD4* alleles as described above.

5 All methods for detecting the presence of a specific DNA sequence in DNA isolated from an individual known to one of skill in the art are contemplated to fall within the scope of this invention. Thus, any method of detecting the presence of the *DRD4* 7R allele, or other marker in the region of linkage disequilibrium, is within the scope of this invention.

10 While this invention has been described in detail with reference to a certain preferred embodiments, it should be appreciated that the present invention is not limited to those precise embodiments. For example, the reagents and methods of the present invention include not just those specifically disclosed, such as specific identified alleles associated with ADHD, but also to any markers subsequently found by routine experimentation to fall with the area of strong linkage disequilibrium with the *DRD4* alleles identified above. Rather, in view of the present disclosure which describes the current best mode for practicing the invention, many modifications and variations would present themselves to those of skill in the art without departing from the scope and spirit of this invention. The scope of the invention is, therefore, indicated by the following claims rather than by the foregoing description. All changes, modifications, and variations coming within the meaning and range of equivalency of the claims are to be considered within their scope.

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1 WHAT IS CLAIMED IS:

5 1. Reagent useful for diagnosing attention deficit hyperactivity disorder (ADHD), comprising a polynucleotide corresponding to an allele of *DRDR* associated with individuals exhibiting ADHD.

2. The reagent of claim 1, wherein the polynucleotide corresponds to the *DRD4* 7R allele.

10 3. Reagent useful for diagnosing ADHD, comprising a polynucleotide corresponding to a marker the locus of which is within a block of linkage disequilibrium surrounding the *DRD4* 7R allele.

15 4. The reagent of claim 3, wherein the locus of the marker is within 100 kB of the *DRD4* 7R allele.

20 5. The reagent of claim 3, wherein the locus of the marker is within 50 kB of the *DRD4* 7R allele.

6. Reagent useful for diagnosing ADHD, comprising a pair of oligonucleotides corresponding to an allele of *DRDR* associated with individuals exhibiting ADHD.

25 7. The reagent of claim 6, wherein the pair of oligonucleotides corresponds to the *DRD4* 7R allele.

30 8. Reagent useful for diagnosing ADHD, comprising a pair of oligonucleotides corresponding to a marker the locus of which is within a block of linkage disequilibrium surrounding the *DRD4* 7R allele.

9. The reagent of claim 8, wherein the locus of the marker is within 100 kB of the *DRD4* 7R allele.

35 10. The reagent of claim 8, wherein the locus of the marker is within 50 kB of the *DRD4* 7R allele.

1 11. A method for diagnosing ADHD in an individual, comprising the steps of:
a) obtaining a tissue sample from the individual;
b) treating the sample so as to expose DNA present in the sample;
5 c) contacting the exposed DNA with a labeled DNA oligomer under conditions
permitting hybridization of the DNA oligomer to any DNA complementary to the DNA
oligomer present in the sample, the DNA complementary to the DNA oligomer containing
the *DRD4* 7R allele;
d) removing unhybridized, labeled DNA oligomer; and
10 e) detecting the presence of any hybrid of the labeled DNA oligomer and DNA
complementary to the DNA oligomer present in the sample, thereby detecting and diagnosing
ADHD.

15 12. A method for diagnosing ADHD in an individual, comprising the steps of:
a) obtaining a tissue sample from the individual;
b) treating the sample so as to expose DNA present in the sample;
c) contacting the exposed DNA with a labeled DNA oligomer under conditions
20 permitting hybridization of the DNA oligomer to any DNA complementary to the DNA
oligomer present in the sample, the DNA complementary to the DNA oligomer containing a
marker within a region of strong linkage disequilibrium to the *DRD4* 7R allele;
d) removing unhybridized, labeled DNA oligomer; and
e) detecting the presence of any hybrid of the labeled DNA oligomer and DNA
25 complementary to the DNA oligomer present in the sample, thereby detecting and diagnosing
ADHD.

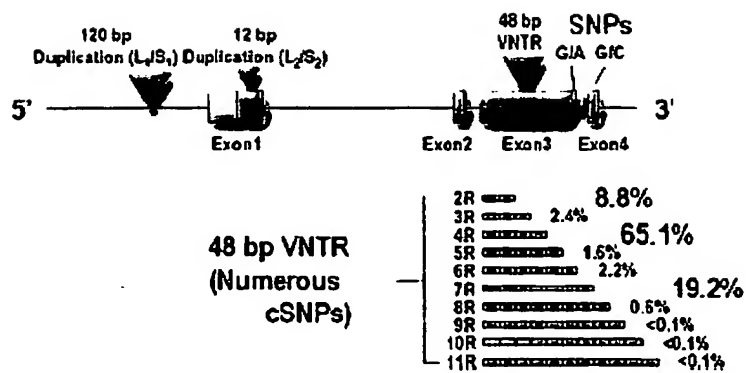
30 13. A method for diagnosing ADHD in an individual, comprising the steps of:
a) obtaining a tissue sample from the individual;
b) providing an oligonucleotide complementary to the sense strand of the *DRD4* gene;
c) providing an oligonucleotide complementary to the antisense strand of the *DRD4*
gene;
d) treating the sample so as to expose DNA present in the sample;
35 e) contacting the exposed DNA with the oligonucleotides under conditions permitting
amplification of the *DRD4* gene;
f) sequencing the product of the amplification; and

1 g) detecting the presence of the *DRD4* 7R allele in the sample, thereby detecting and
diagnosing ADHD.

5 14. A method for diagnosing ADHD in an individual, comprising the steps of:

- a) obtaining a tissue sample from the individual;
- b) providing an oligonucleotide complementary to the sense strand of a marker
sequence found in an area of strong linkage disequilibrium with the *DRD4* 7R allele;
- c) providing an oligonucleotide complementary to the antisense strand of the marker
10 sequence;
- d) treating the sample so as to expose DNA present in the sample;
- e) contacting the exposed DNA with the oligonucleotides under conditions permitting
amplification of the marker sequence;
- f) sequencing the product of the amplification; and
- 15 g) detecting the presence of the marker sequence in the sample, thereby detecting and
diagnosing ADHD.

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DRD4**FIG. 1**

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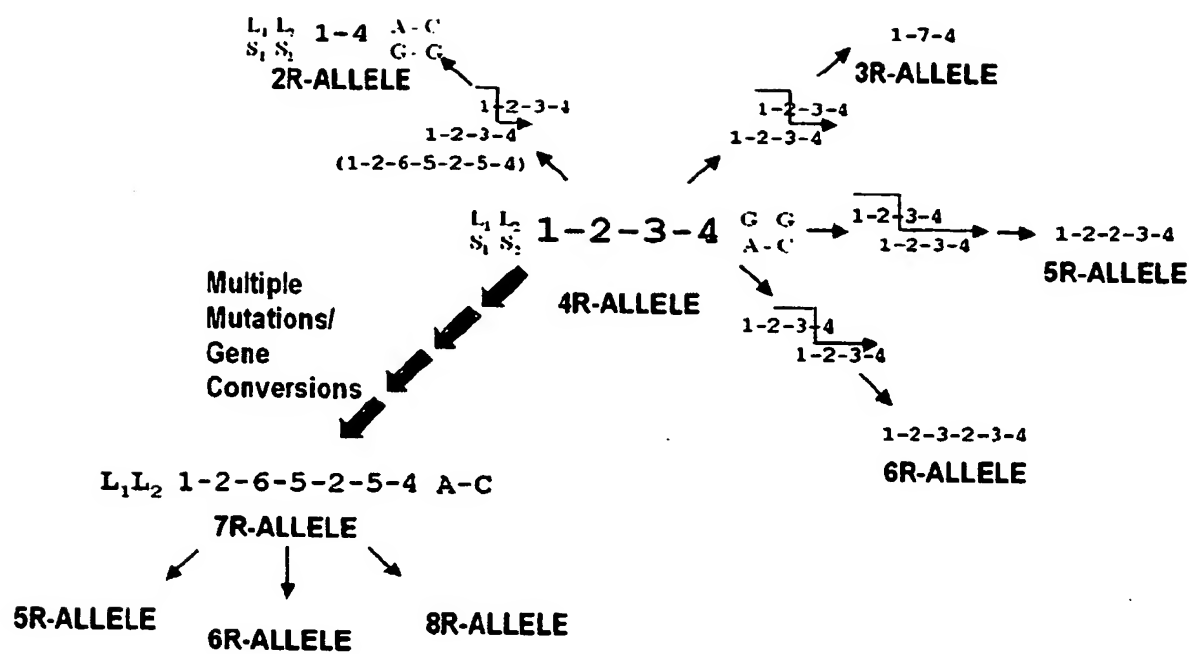


FIG. 3

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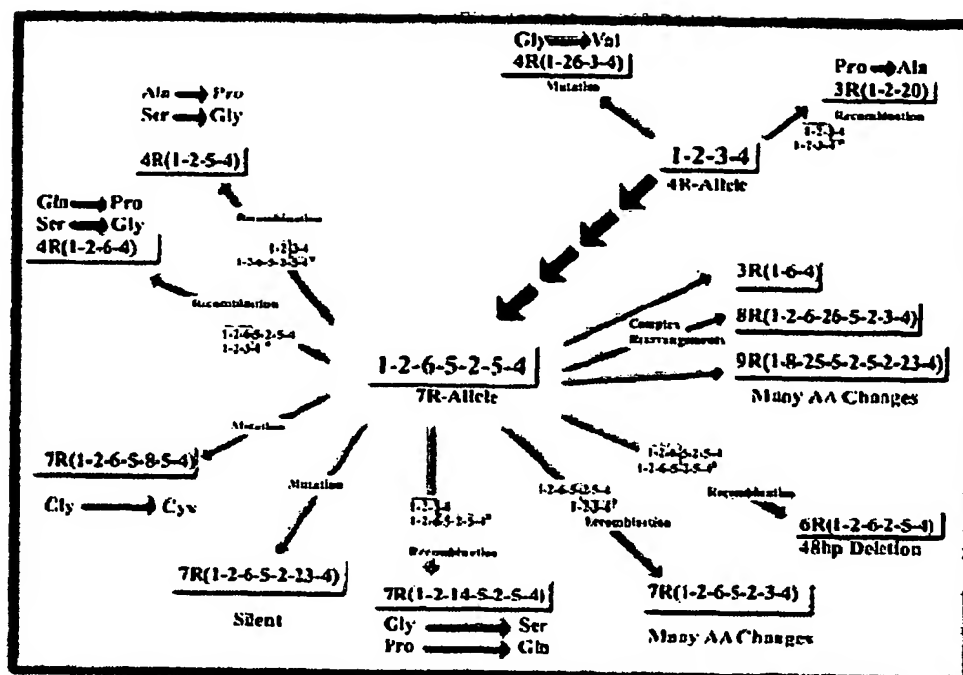


FIG. 4

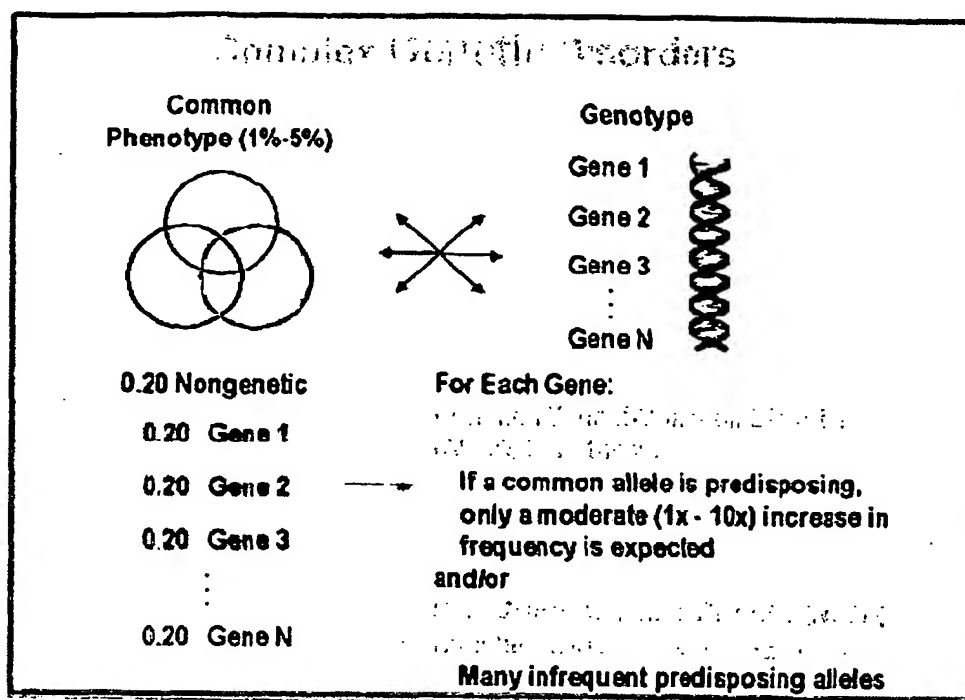


FIG. 5

Single Gene	Complex Genetic Disorder
Huntington Disease	"Neither Necessary nor Sufficient" Model - Three Genes
$A = 0.9999$ = Normal allele $a = 0.0001$ = Disease allele $a/x = 0.0002$ Disease frequency	$A = DRD4 \text{ non-7R} = 0.88$ $B = 0.95$ $C = 0.95$ $a = DRD4 \text{ 7R} = 0.12$ $b = 0.05$ $c = 0.05$ $a/x = 0.22$ $b/x = c/x = 0.10$
<u>5000-fold increase in a allele frequency</u>	Assuming Independent Assortment $(a/x)(b/x) = 0.02$ $(a/x)(c/x) = 0.02$ $(b/x)(c/x) = 0.01$
	} Disease frequency = 0.05 <u>2-4 fold increase in a, b, c allele frequencies</u>

FIG. 6

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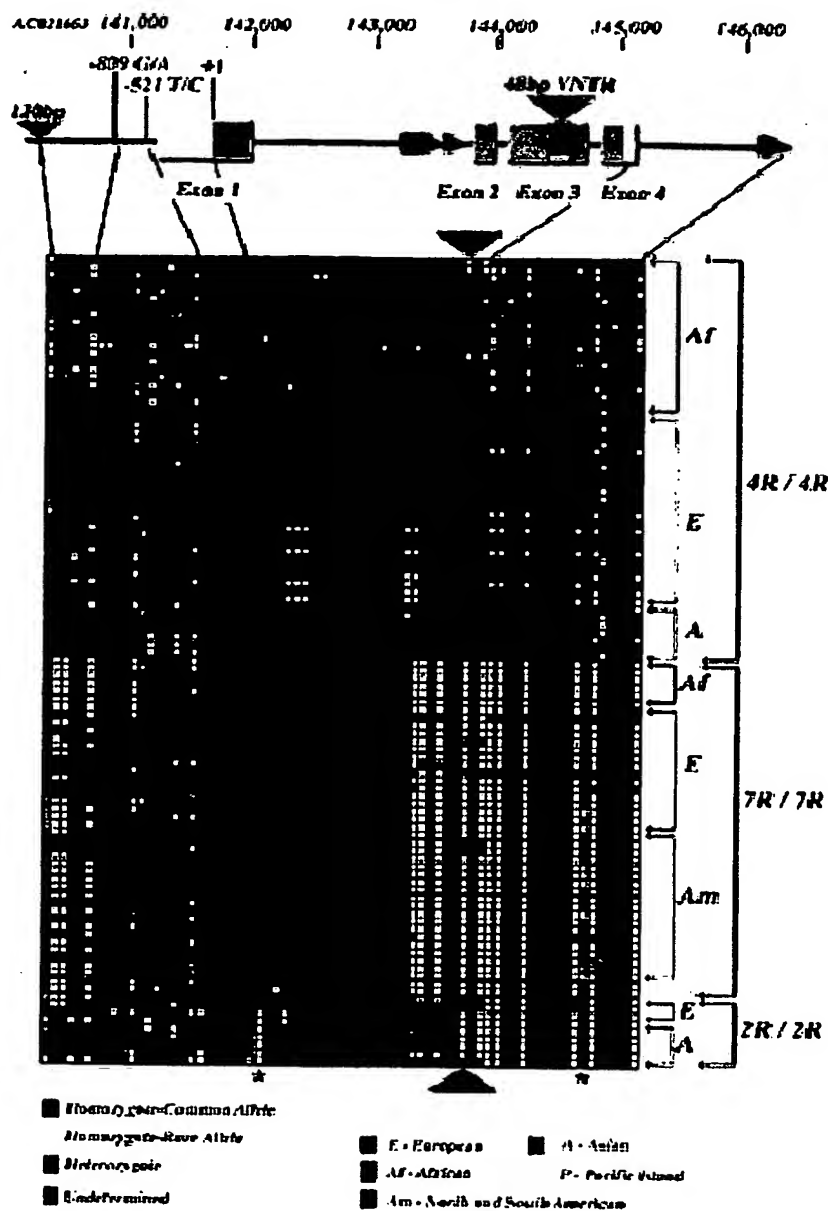
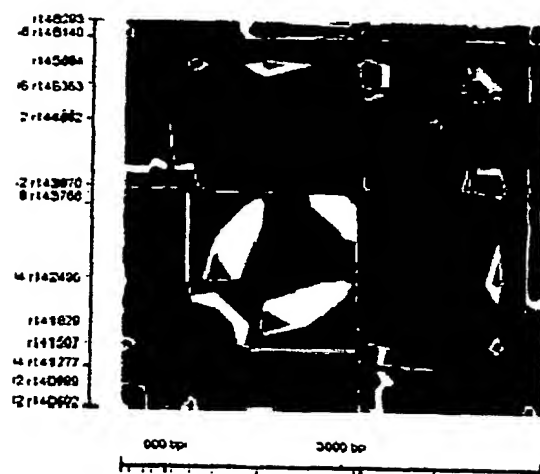
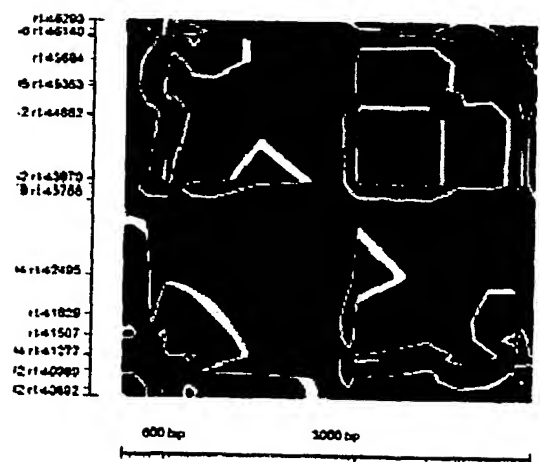


FIG. 7

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4R/4R
(n = 51)**7R/7R**
(n = 43)**FIG. 8**

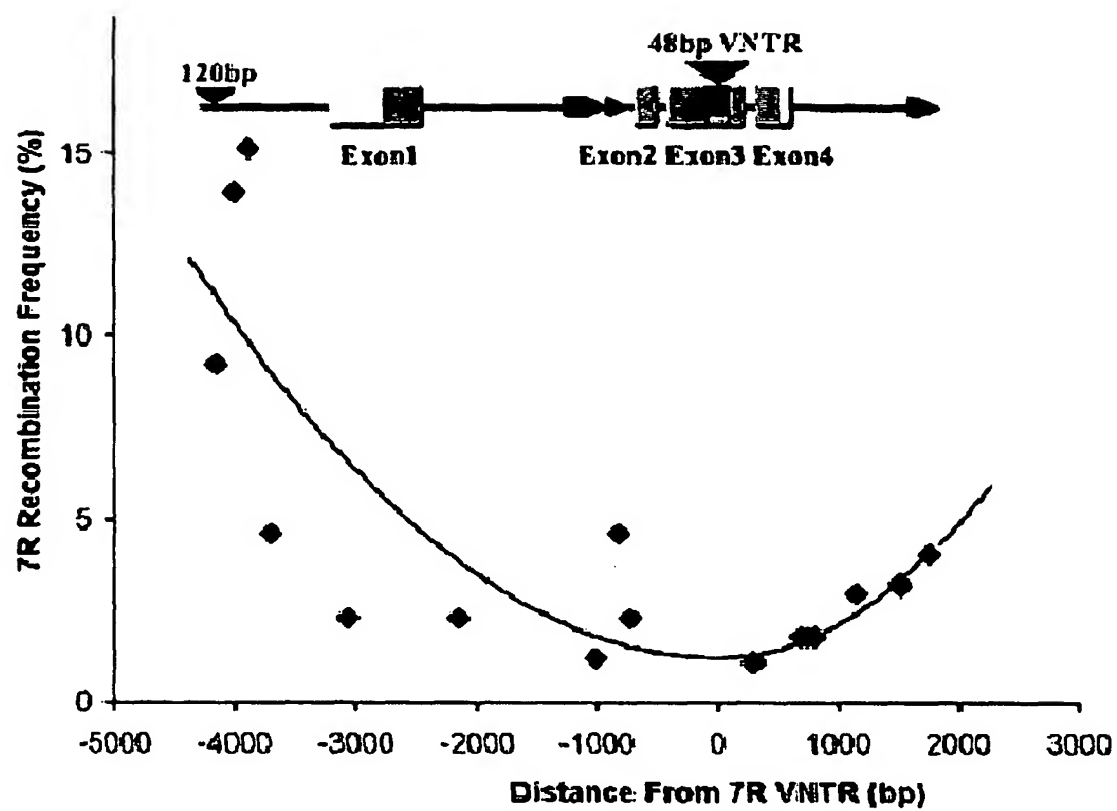


FIG. 9

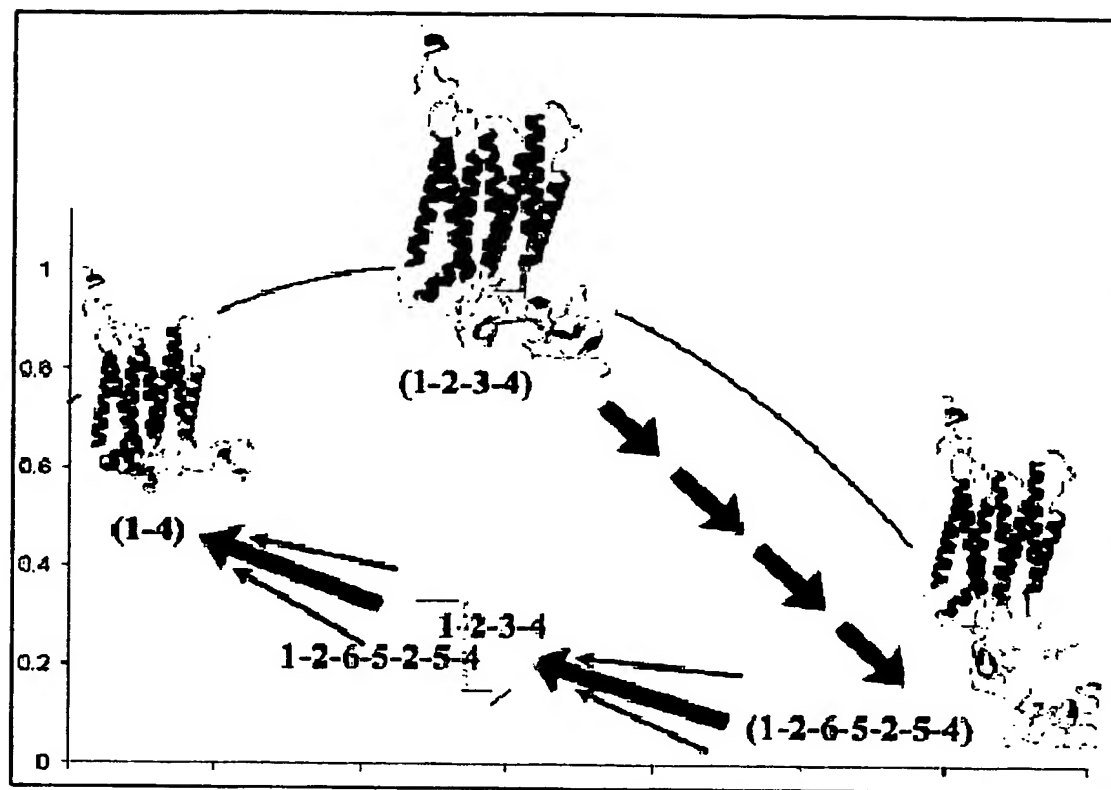


FIG. 10

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US03/41409

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : C07H 21/04; C12Q 1/68

US CL : 435/6; 536/23.1

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 435/6; 536/23.1

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
Please See Continuation Sheet**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DING et al. "Evidence of positive selection acting at the human dopamine receptor D4 gene locus." PNAS, 8 January 2002, Vol. 99, No. 1, pages 309-314.	1-14
X	CASTELLANOS et al. "Lack of an association between a dopamine-4 receptor polymorphism and attention-deficit/hyperactivity disorder: genetic and brain	1-10
---	morphometric analysis." Molecular Psychiatry. 1998, Vol. 3, No. 5, pages 431-434.	-----
A		11-14

☐ Further documents are listed in the continuation of Box C.☐ See patent family annex.

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"P" document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

24 April 2004 (24.04.2004)

Date of mailing of the international search report

07 JUN 2004

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Authorized officer

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Telephone No. (571) 272-1600

J. Roberts for

INTERNATIONAL SEARCH REPORT

PCT/US03/41409

Continuation of B. FIELDS SEARCHED Item 3:

DRD4 or dopamine receptor D4

7R or 7 repeat or 48

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